EDUCATION SUPPORT AND TRAINING PROJECT
Project #674-0302

INTERIM EVALUATION

Prepared for:

**The United States Agency for International Development
Pretoria, South Africa**

Prepared by:

**EDC
Education Development Center, Inc.
International Programs
55 Chapel Street
Newton, MA 02158-1060**

Evaluation Team:

**Fredi Munger
George Corinaldi
Isabel Gabashane
Gayla Cook**

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Introduction

INTRODUCTION

In October, 1993, USAID/South Africa contracted with Education Development Center, Inc. (EDC) for the second interim ESAT evaluation. This evaluation was part of the design of the April, 1989, Project Paper (PP) supplement (the first interim evaluation was conducted in October 1989). The purpose of the evaluation was to assess the effectiveness and impact of the ESAT project and make adjustments in the portfolio of NGOs during 1994 and 1995, the final years during which grantees may be added to the portfolio.

The objectives of this evaluation were to measure progress towards reaching end-of-project status (EOPS), review the project management strategy with particular reference to recommendations made by the 1989 evaluation team, and assess the impact of ESAT on its focus areas. More specifically, we were asked to report our answers to ten specific evaluation questions. Towards this end we were requested to conduct a document review and on-site interviews with USAID, Project ABEL/SA, and approximately twenty ESAT grantees.

ESAT has largely been a successful, well managed project. The project met most indicators of success including meeting or exceeding the EOPS specified in the 1986 PP and the strategic and target objectives explained in the 1993 Mission strategic concept paper.

The ESAT project has been on target at meeting project, program, and strategic objectives due to a confluence of design, management and circumstantial factors. The ESAT design—an umbrella project which provided grants (later supplemented by technical support) to a variety of education NGOs—was sufficiently flexible to allow project management to take some judicious risks and enter new areas as soon as opportunities arose. Many of the project's investments have paid off well, and some NGOs supported by ESAT have developed technical and organizational capacities which may allow them to provide a new government with expertise and experience to meet some of South Africa's post-apartheid educational challenges.

Section I
SUMMARY OF RECOMMENDATION, CONCLUSION, AND FINDINGS

SECTION 1

SUMMARY OF RECOMMENDATIONS, CONCLUSIONS, AND FINDINGS

Recommendation 1

After 1996, the Mission should negotiate support for a project similar to ESAT. As with ESAT, the project would offer indigenous NGOs both financial and technical assistance.

Findings and Conclusions

- There are clear and compelling reasons for continuing an ESAT-type project beyond 1996. The NGO sector operates as a "think swamp" for creative, innovative, appropriate solutions to South Africa's unique set of educational problems. To maintain its usefulness to a post apartheid education system, USAID needs to harvest this swamp systematically.

- The NGO sector has enjoyed a "windfall" of support from the mid-1980s until now. As this will not be repeated, USAID has begun helping NGOs complete three transformations: from opposition of government to partnership with government, from handout/victim mentality to service/accountability mentality, from white led to black led. These transformations will not be completed by 1996.

Recommendation 2

The project should consider not accepting any new grantees into ESAT after the FY-94 selection cycle. ESAT should use the rest of the project period to consolidate and reflect on the portfolio. Remaining ESAT funds should be used to add evaluation and practitioner research capacity to grantee organizational development efforts, strengthen technical assistance to grantees in a more focused way, create a local research capacity, and provide grantees and others with a forum for sharing experiences and lessons learned.

Findings and Conclusions

- Under the existing configuration, the ESAT project is approaching its maximum managerial capacity. Further expansion of the portfolio might erode the high standards achieved in grantee selection, technical assistance, and monitoring of grantee financial and programmatic performance.

- One study [1] indicates that the 81 projects constituting the current and past ESAT portfolio may represent a large proportion of the organizations that would qualify for and be able to utilize AID assistance.

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[1]   BMI - Issues Management. The Role of Business in Education and Training in South Africa. 1991

- ABEL has provided technical and organizational development assistance to a number of educational NGOs. *NGOs are now at the verge of breaking through to another level of organizational maturity and sectoral collaboration.* To accomplish this the NGOs need another level of intense organizational development and capacity expansion.

- In order to meet Target Objective 2.1 (develop, evaluate, and disseminate new and innovative approaches to education) ESAT needs to develop evaluation and practitioner research capability within grantee institutions as well as a forum for sharing and disseminating lessons learned.

- ESAT has been exceptional in building evaluations into the grant management process in some cases through funding external evaluations and in a few others through building an in-house evaluation capability.

Recommendation 3

USAID should continue to prepare grantees to play a more active role in the policy debates on education. Since regional and national coalitions of NGOs are better positioned to participate in these debates than individual organizations, USAID should explore a variety of means for assisting NGOs in forming and maintaining coalitions.

Findings and Conclusions

- USAID has wisely used the political credibility it developed during the ESAT Project to obtain an opening for itself and NGOs in the educational policy debates.

- Some of these organizations and individuals funded under ESAT have become active players in the policy debate and still look to USAID for technical and financial support.

- There is a congruence of subject area/focus area interests between many ESAT supported NGOs and interests of South Africa (SA) educationists currently active in policy debates.

- In some cases, the USAID strategy of selecting and supporting individual NGOs to become "umbrella associations" representing sectoral interests needs to be reconsidered and modified. The reasons are:

    - Some of these NGOs have not been able to transform themselves into coalition oriented groupings;

    - NGOs that propose themselves or have been proposed by AID as "umbrella organizations" have encountered resistance. In some instances, programs and

organizations that were supposed to align themselves under the proposed umbrella (constituents) have refused to do so.

- Given that South African NGOs are particularly sensitive to issues of "voice" at this time, NGOs need a new level of technical assistance to work through matters arising from inter-organizational development and coalition building.

- AID should explore forums and structures in addition to "umbrella organizations" for supporting the participation of coalitions and constituent based NGOs in national and regional policy debates. For example, these forums could include the organization of national caucuses for advocacy around sector specific issues such as literacy.

- In the past ESAT has been able to take advantage of shifting opportunities to change from a political to a developmental focus. Recently, a branching in opportunities has taken place to support activities in the policy arena and ESAT has taken advantage of these new opportunities.

Recommendation 4

ESAT should continue the process of formalizing and systematizing the grantee selection and negotiation processes. AID should consider inventing streamlined and simplified financial reporting and contracting processes specifically designed for working with NGOs.

Findings and Conclusions

- Grantees reported a need for an up-datable "user's guide" that will de-mystify and clarify the proposal preparation, grantee selection, contracting, and financial and programmatic reporting processes.

Recommendation 5

The team believes that ESAT should consider the 1994 through 1996 period to be a time of portfolio consolidation and reflection.

- Consolidation: The team recommends that during the final grantee selection cycle (1995-1996) the project's first priority should be support for programs in three focus areas[2]: adult basic education, pre-primary and preparation for schooling, and policy formulation and implementation.

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2 The Evaluation Scope of Work requested that the team make recommendations about "strengthening, consolidating and deleting focus areas." Focus areas mentioned in the Evaluation Scope of Work are: supporting models for decentralized education, curriculum development and educational planning for a post-apartheid society, qualitative improvement of black education via professional teachers' skills upgrading, expanded access to secondary education, post secondary school remediation; applied adult literacy training, and preparation for schooling and primary education.

- The circumstances under which the focus areas were defined in 1986 and 1989 no longer pertain. The ending of apartheid and preparation for a universal education system reduce interest in parallel and supplementary NGO services and focus attention on NGOs working on policy formulation and models to improve the quality of public education. Also, ESAT has effectively dropped two focus areas—access to secondary education and post secondary remediation—already.

- Adult basic education and pre-primary education should be continued as ESAT focus areas because they are outside the formal, basic education system as currently configured. Under a universal basic education system, a new government is likely to want to keep most service areas related to the formal school system, e.g., teacher education and training, curriculum development, and materials development. In addition, the need for "alternative schools" and equal access to secondary education should become less acute.

- Policy formulation and implementation should be an area for focused activity under ESAT because this is a fundamental area of intervention not previously open to the majority of South Africans. In addition, USAID can provide much needed assistance by connecting South African NGOs to global knowledge bases, thereby better preparing them to participate knowledgeably in policy debates.

- In 1996 the relevance of these three focus areas should be re-examined. A decision whether to maintain, delete, or add focus areas for any successor project or activities should be made at that time, taking into consideration the new government's education policy frameworks and implementation schedules, the Mission's strategic plans for education, and the activities of other donors.

• Reflection: Impressed with the richness of the lessons to be learned from reflecting on seven years of ESAT project activities, the team has identified two kinds of reflection activities needed at this juncture.

  - The first is to attach evaluation and self-study components to at least half of all new ESAT projects.

  - The second is to commission an international educational research institution to analyze in-depth an additional 4-6 past or ending initiatives in order to document products and lessons learned and to answer questions about the impact and effectiveness of the ESAT Project.

Just as biologists argue that some of the best adapted species cease when their environments undergo sudden or drastic changes, the evaluation team argues that some superb successes and models of excellence in the ESAT portfolio will not survive the changes in

South Africa's educational environment. This extinction does not indicate that these programs were "failures" or that there is nothing to be gained from evaluating and analyzing their methods and products. Indeed, if the Mission hopes to pass on valuable models to a new government, those models need to be documented and captured while the organizations that developed them can participate in the review and analysis.

Lessons Learned

1. ESAT has been an effective umbrella project that provided financial and technical support to NGOs in an increasingly cost effective manner over the past seven years. The model should be looked at seriously by the USAID as a potential model for working with NGOs in other parts of the world. It is important to distinguish "success factors" that are unique to the South African context from "success factors" that have potential transferability.

   • Unique "success factors" include: the political nature of the project, absence of a bilateral partner, high political profile, legislative mandate and substantial congressional appropriations, the numbers and sophistication of education sector NGOs, the first world/ third world nature of SA in general and the education sector in particular, the dismantling of apartheid and the transition to a democratically elected government, the presence of a vibrant, non-statal education sector "marketplace."

   • Transferable success factors include: absence of institutional contractors (thereby allowing for direct management of grantees by Mission project staff and allowing more resources to be spent on financial and technical assistance to grantees), long LOP, high levels of funding, strong project staff, clear mission strategies and policies, built in "quality control and improvement" mechanism, use of centrally funded buy-ins for technical support, creative use of market forces.

2. ESAT has demonstrated that an aggressive strategy against the inequities of apartheid—as opposed to the business as usual, constructive engagement policy advocated in the administration in 1986—was justified and productive. The lesson is that Congress was right, and given their powerful backing underwritten by substantial appropriations, USAID/SA was able to both fulfill the political agenda of congress and actively engage in helping the education sector in South Africa transform itself.

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Section II
BACKGROUND

SECTION II

BACKGROUND

Project Description

In September 1986, the United States Agency for International Development (USAID) Bureau for Africa approved a five-year, $6 million South Africa Alternative Education Project, subsequently renamed Educational Support and Training Project (ESAT). ESAT was conceived as an "umbrella project" designed to fund grants to "key groups working in alternative education in support of black community goals." Its purposes were revised somewhat in the April 1989 Project Paper Supplement to reflect the Education Sector Strategy of supporting "indigenous, nongovernmental initiatives which test improved models for basic education for disadvantaged South Africans and confront the waste of human resources caused by the apartheid education system." The project end date was extended and funding increased in 1988, 1989 and 1992, bringing the project assistance completion date to 10 years and the life of project funding to $30 million.

Objectives

In October, 1993 USAID/SA contracted for the second interim evaluation called for in the April, 1989 PP supplement (the first interim evaluation was conducted in October 1989). The purpose of the second interim evaluation was to assess the effectiveness and impact of the ESAT project and make adjustments in the portfolio of NGOs during 1994 and 1995, the final years during which grantees may be added to the portfolio.

The objectives of this evaluation were to measure progress towards reaching end-of-project status (EOPS), review the project management strategy with particular reference to recommendations made by the 1989 evaluation team, and assess the impact of ESAT on its focus areas. More specifically, the team was asked to report answers to ten specific evaluation questions and conduct a document review plus on-site interviews with USAID, Project ABEL/SA and approximately twenty ESAT grantees. To evaluate ESAT, the team needed to understand the interplay of the institutional and country contexts.

The ESAT Project is one part of mission strategy to support the dismantling of apartheid and help black South Africans prepare for leadership roles in a post-apartheid South Africa.

The ESAT Project is like a small ship in a big ocean. The fixed part—the ship's design, its crew, and its course—are all determined by USAID. The dynamic part—the currents, storms, and unexpected events—are determined by the socio-educational events of South Africa.

Over time ESAT project activities have been accountable to both political and developmental obligations. These responsibilities affect ESAT policy and activities sometimes in tandem, sometimes independently, and sometimes in opposition. The impetus for these obligations comes from the Congress' Comprehensive Anti-Apartheid Act (CAAA) of 1986.

The USAID presence in South Africa was a direct result of the CAAA. This act mandated economic sanctions and established an USAID presence which had as its political goal to hasten the demise of apartheid, and as its developmental goal to prepare disadvantaged black South Africans for leadership roles in a democratic, post-apartheid South Africa. The CAAA specifically mandated that USAID assistance include education as a central tool to demonstrate US commitment to ending apartheid. The ESAT USAID Project was the vehicle designed to address education program requirements in South Africa.

The CAAA made particular mention of financing education and training for victims of apartheid, including teachers and other education professionals; and financing "alternative education," or community-based initiatives that are consistent with the majority will of South Africans. Accordingly, the ESAT Project defined its original approach as "an outreach approach which responds to the concerns of credible community leaders and educationists." During the course of the project, this approach was modified and expanded to include more explicitly developmental goals.

The USAID program responded to the CAAA mandate and black leadership in three major sectors: promotion of human rights and a civil society, private sector mobilization, and human resource development. Approximately half of all USAID resources in SA were targeted for use in human resource development, which includes both basic and tertiary education.

Direct USAID interventions in the public formal education system are, however, currently circumscribed by the CAAA legislation and AID policy, which prohibit USAID from working directly with organizations financed or controlled by the South African Government (SAG). Given that most formal education is carried out under state auspices, USAID activities in this field are, necessarily, focused on providing support and assistance to NGOs. In 1992, AID policy was modified to allow financing through NGOs to support educational institutions. Recent legislation proposes to permit aid through NGOs to fund organizations such as universities, although they receive substantial SAG funding.[1]

The Changing Institutional Environment—USAID/SA

As one of the first USAID projects in South Africa, the ESAT project saw USAID presence grow from a small Office of Development Affairs to a nascent USAID operation and a rapidly expanding mission. Each phase had characteristics and pressures that affected the management of ESAT.

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[1] *South Africa Basic Education Reconstruction Project Paper.* USAID/South Africa 1992. p.2.

Attributes pre-1990: A political/humanitarian focus for the Office of Development Affairs

- Relatively small size of staff
- Absence of bi-lateral negotiations
- Intense congressional interest
- Pressures to expand the portfolio
- Reluctance of NGOs to accept USAID funding
- SA political opposition to USG
- Grantee selection driven by political and humanitarian criteria
- Loose/ flexible processes and strategies
- Forming relationships—individuals and NGOs
- Problematic institutional contractor
- Absence of "big picture" frame and coherent developmental strategy (pre 1989 valuation)

Attributes 1990—1994: A humanitarian/ developmental focus for the new and rapidly growing Mission

- Rapid growth in mission management and professional staff supervision responsibilities (technical contractors, PSCs, and grants)
- Formalization of practices and strategies
- Autonomous administration of projects
- Increased pressure to absorb earmarks
- Rise in demand for USAID assistance and technical services
- Developmental and capacity-building criteria used to select grantees
- Building and consolidating relationships with NGOs and NGO networks
- Presence of technical contracts

Possible Attributes beyond 1994: A developmental/ reconstructive focus

- Bi-lateral negotiations with democratically elected government for education project
- Continued support of NGOs
- Demand for sustainable and replicable outcomes
- Position on institutional contractors revisited
- Facilitating partnerships between government and NGOs/NGO networks

The South African Socio-Educational Environment

Strikes, boycotts and marches remain the most visible expression of a continuing crisis in black schooling. Arising from the inequalities and injustices of the apartheid system, these disruptions are the observable manifestations of deep-rooted problems in black education.

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1993 statistics published by the South African Institute of Race Relations[2] depict the effects of unequal distribution of resources (per capita SAG spending on white students is about 4.5 more than what is spent on blacks). The cumulative ill-effects of years of schooling with inadequately trained and prepared teachers, irrelevant curricula and materials, and weak management and administration is that only 1% of black children who begin primary school manage to graduate from high school with a passing grade allowing for university entrance. The aggregate impact of generations of unequal access to education are captured by the literacy statistics—illiteracy rates are 2% for the white population and estimated at 50% for the black population.

The current interregnum is described as a time of negotiation and planning for transition and reconstruction of education. Extra-parliamentarian educationists have been preparing to enter a policy dialogue by developing strategy documents and implementation plans for educational reconstruction under a democratic system. Yet, while rapid urbanization has heightened demand for educational access, the continuing decline in the economy has shrunk already limited options for resourcing education from state coffers. Education remains highly politicized in South Africa.

Given this confluence of circumstances, it seems likely that reconstruction of a high quality, unitary education system will require cooperation and coordination of state, para-statal, non-governmental, donor, and community based organizations.

The future is so uncertain that it makes more sense to talk about events that will trigger changes in USAID's strategy than it does to try and predict the nature of those events or changes.

Democratic elections and the establishment of an interim government may trigger negotiations for bi-lateral assistance between donors and government. Those negotiations will determine the scope, focus and channels for donor assistance, including USAID, after 1994.

The NGO Environment

There are clear and compelling reasons for government and USAID to work in partnership with NGOs. The NGO sector operates as a "think swamp" for creative, innovative, appropriate solutions to South Africa's unique set of educational problems. To maintain its usefulness to a post-apartheid education system, USAID needs to harvest this swamp systematically and make the best of its yield available to government.

At the moment educational NGOs in South Africa are clearly adapting to a "sea change." Their niches—financing, organizational missions, structures, networks and associations—are changing at an increasingly rapid pace. Often described in past project literature as "vibrant," the SA Educational NGO community is—according to one author of

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[2] Cooper et al. Race Relations Survey 1992\1993. South African Institute of Race Relations. Johannesburg:1993.

the Business Management Institute's [3] study—currently undergoing three fundamental transformations: transformation in mindset from opposition to government to partnership with government, transformation in contributor expectations from "handouts" towards performance and financial accountability, and transformation in staffing from white-led to black-led. According to this source, even those NGOs who are able to make these changes may not survive the uncertain future.

During the late 1980s South African NGOs were on the receiving end of a windfall of funds flowing from the international community and anti-apartheid movements based in Europe and North America. Given the nature of the political situation in SA at that time, it was unrealistic and dangerous to ask NGOs to account for activities. Even financial accountability was limited by the need for many banned organizations—particularly those that were black led—to maintain a nearly invisible profile.

Restrictions against working with the SAG or with any organization controlled or financed by the SAG left USAID with the SA NGO community as a development partner. Prior to 1990 they were a very reluctant partner. Although some NGOs affiliated with the black consciousness movement were willing to accept USAID funds, most NGOs associated with the mass democratic movement remained distrustful.

Jennifer Bisgard describes education NGOs as falling into four categories[4] : (1) providing *parallel services* to the state (community-based of "alternative" schools); (2) developing *supplementary services* that are provided to a very limited extent by the state (preschool teacher training, ABE); (3) providing interventions *to improve the quality of state-provided education system* (inservice teacher training); and (4) research, development and implementation of *education policies* for a future democratic dispensation (curriculum reform, an independent examination system).

According to Bisgard, before 1990 NGOs mainly provided parallel and supplementary service. After the unbanning of individuals and organizations, NGOs shifted activities towards improving the quality of education and more slowly, towards fundamental policy change. The ESAT portfolio has followed this trend towards quality of education and policy change within the general parameters of its "focus areas" framework. *Note: At present, of the seven focus areas given in the PPS, two have been dropped (post-secondary remediation and decentralized education) and one added (policy analysis and implementation).*

The blossoming of NGO creative activity in 1990 and 1991 coincided with a drying up of "no strings" international assistance. This encouraged many educational NGOs who had been reluctant to work with USAID to apply for grant assistance under ESAT. During 1990—1992 period, USAID, like other donors, began requiring more stringent financial and performance accountability. These requirements were accompanied by a willingness to cover some operating costs and provide technical assistance, thereby allowing NGO organizations

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3   BMI - Issues Management. The Role of Business in Education and Training in South Africa. 1991

4   Bisgard Jennifer. "An Overview: USAID/SA Basic Education Portfolio 1986 - 1993." September 1993.

to develop the capacity to design, implement and monitor new activities. In 1992, USAID began to intensify its existing efforts to promote an affirmative action agenda as one means of preparing black leadership for a post-apartheid education system.

The project as presently structured—an average two-year term funding for unsolicited proposals from qualified organizations that fit into the project's focus areas and the Mission's strategic parameters—assumes that a sufficient number of such organizations will solicit funds for USAID each year. The team came across one study (the Business Management Institute's 1991 Report entitled The Role of Business in Education and Training in South Africa [5]) which implied that the 81 organizations with which ESAT has already worked may represent a significant proportion of the "qualified" organization pool. Although this issue has limited near-term significance—ESAT should have no trouble funding suitable solicitations through 1995—saturation of available recipients could be an important question in designing a successor project.

The ESAT Project—Overview

The ESAT Project is a mechanism for providing grants ranging from $5,000 to over $2,000,000 to South African educational NGOs, whose activities "support and expand selected activities in South Africa to advance the black community goals of educational equity and eliminate of all forms of apartheid in the content and structure of the educational system."

A portfolio overview reveals that during the period 1986 to 1993 the ESAT portfolio had 81 different grantees. A general accounting of the 81 grantees indicates that 60 of them are still active, 9 have "graduated" to SABER, and 12 have been closed out. [6]

During the same period a total of 70 grant agreements and 26 purchase orders were negotiated and managed. In short, a total of 96 funding instruments were produced and managed from 1986 to 1993 with a USAID contract staff of one person up until 1992 when two contractors were managing the project. Since then the original contract manager has left the project. At present, two contractors manage the portfolio but the salient point to be underscored is that the ESAT portfolio has from project inception had an extraordinarily high ratio of grantee to management staff. The quality of the program has not suffered due to the competency and high motivational levels of the USAID contractors and direct hires.

In terms of present day realities, the ESAT portfolio is composed of 60 active grantees with a total of 60 funding instruments, 49 grant agreements and 11 purchase orders.

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[5]   Ibid.

[6]   Source: USAID Action Memorandum for The Acting Director, November 13, 1992. Subject: Educational Support and Training Project(674-0302) Project Authorization Amendment , page 5, Summary of Progress of Project Grant Activities; Jennifer Bisgard, An OverView: United States Agency For International Development/ South Africa, Basic Education Portfolio 1986-1993; Sarah Labaree, Education Support and Training (ESAT) Working chart. 3 cover

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This configuration of numbers of grantees and grant agreements including purchase orders is beyond the bounds of proper management responsibilities for a contract staff of two.

Conclusion

No additional grantees should be added to the portfolio after the 1993 review for two reasons: (1) the BMI report cited above indicates that ESAT may already have funded most of the organizations that qualify for and have the capacity to absorb USAID funds (saturation) and (2) the grantee to management staff ratio is already high and adding to the portfolio could compromise future program quality (managerial capacity).

Section III
TEN EVALUATION QUESTIONS

SECTION III

TEN EVALUATION QUESTIONS

Evaluation Question 1. In what ways has the grantee selection process changed since 1986 and what influenced those changes?

Response to Evaluation Question 1

The grantee selection process has evolved from being driven by political/humanitarian concerns (establishing the political credibility of USAID and serving the needs of victims of apartheid) to sectoral/developmental interests (selecting grantees in one of seven focus areas that exhibit potential for delivering real educational goods and services) and developmental/strategic agendas (selecting grantees that build the basis for improving the quality of education in post apartheid South Africa and that carry forward the Missions strategic and target objectives). The changes were evolutionary and the selection process carried forward some values from each phase.

The evolution of the grantee section process has been influenced by events in the South African Socio-Educational context (e.g., the 1990 unbanning of organizations and individuals, decreasing suspicion of USAID by potential grantee organizations); the U.S. political climate (e.g., the initial institution of CAAA and later its partial repeal); the drying up of funds flowing from the US anti-apartheid movement), and by *USAID/SA Mission strategy and policy* (e.g., the persistent and increasing insistence on affirmative action plans for selected grantee organizations, Mission interest in formalizing and systematizing the grantee selection process).

Grantee Selection Process

1987—1989: Initially, the ESAT grantee selection process followed the general criteria outlined in the 1986 Project Paper (P.32) and used staff discretion to select grantees. The principal selection concern at that time was obtaining enough unsolicited proposals from qualified organizations[7] to award the quantity of grants expected by the Mission and Congress in a responsible and prudent manner.

In 1987, USAID personnel set up the Office of Development Affairs attached to the Embassy. ESAT was one of the first projects administered through this office. Due to suspicion of USAID sponsored activities, ESAT was not eagerly embraced by the black South African education NGO community, especially by members of the Mass Democratic

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[7] To qualify for USAID funds an organization has to be a registered NGO but not financed nor controlled by the SAG.

Movement/anti-apartheid enthusiasts. They were suspicious of projects sponsored by the United States Government because

- the policy of constructive engagement promoted by Chester Crocker during the Reagan Administration and

- support of anti-government forces in the independent countries of Angola and Mozambique.

In 1987 the apartheid policy was still in place and enforced detentions were the order of the day. Many black activists were either in jail or in exile. Given the widespread belief that USAID Missions were harboring the CIA, the prospect of working closely with USAID was not well received by opposition members of the black community. USAID personnel in those days met with almost insurmountable hurdles in gaining acceptance from NGOs engaged in education activities.

In an effort to build credibility, USAID funded organizations whose activities had an anti-apartheid slant to them, e.g. community based organizations providing alternative education (which was a reaction to the low quality education offered by the Department of Education and Training). Evidence of the politically influenced selection process in the early years, was observed during discussions with some ESAT grantees who first made contact with USAID during that time. Even though they later received funding, they claim that their proposals were rejected and were told by USAID officials that their organizations did not have a high political profile. At the same time, the Mission shied away from white-led organizations which appeared, at the time, to have been following the status quo.

1989 Evaluation: In 1989 the ESAT program was evaluated and one of the recommendations was to formalize the grantee selection process. A number of selection criteria were suggested. In 1990, a more systematic selection process was developed. This process is modified each year to reflect changes in the socio-educational context, the Mission's strategies and policies and applicant pool configuration.

1990-present: During this period there was an expansion of the number and diversity of proposals submitted to USAID due, in part to an increased willingness by the South African NGO community to work with AID. This abundance allowed the Mission to change from a "loose" and "discretionary" selection process to one that more nearly resembled the one recommended in the 1989 evaluation. Formal weighted criteria were formulated and used by project staff as part of a systematic grantee selection process.

Since 1990 criteria have been added, refined, some eliminated, others redefined to make more sense. Weights are adjusted to reflect the changing mood of the country and the Mission's educational strategy. For instance the general shift in the country from focusing on the "struggle for liberation" to "black empowerment" resulted in USAID being criticized for not doing enough to empower black South Africans. In response to this, more weight was allocated to the *black leadership* criterion. During this period, (1990) the system of having

ranking sheets for every proposal was introduced in order to make the selection process more objective and less subjective An illustrative list of selection criteria is included below:

The criteria used in the FY 91 funding cycle were

- Educational effectiveness
- Developmental effectiveness
- Political legitimacy
- Ethical considerations arising from historical deprivation of certain communities
- Black leadership
- Internal organizational strength

The criteria used in the FY 93 funding cycle were

- Organizational effectiveness
- Educational effectiveness
- Innovation/potential
- Black leadership
- Marginalized communities
- Sustainability
- Cost effectiveness/Multiplier effect

In 1991 Project personnel concerned that decisions were being made on the basis of the Mission's limited local knowledge, decided to invite ABEL to assist with the review of proposals. The two ABEL team members are South Africans who sometimes gave a different perspective on issues, a factor which helped other committee members to have a more balanced view of the proposed activities reviewed for funding. Given the changes at ABEL and the growing number of proposals submitted for review, it is unclear whether this committee structure will be continued. The addition in 1993 of a black South African FSN to the ESAT Project staff should help incorporate local knowledge into the grantee selection process.

Since SABER began in 1992, the two projects have used a single process for screening and selecting proposals. The presence of SABER has encouraged the grantee selection process towards greater formality. This relationship is further discussed in the answer to Evaluation Question #3.

The current selection process begins by screening incoming proposals according to ESAT and SABER focus areas, eliminating those which fall outside these areas, (e.g., applying for funds to erect a building or buying heavy machinery). The remainder are assessed by ESAT and SABER project staff against the criteria listed above. Those that best fit the criteria are referred to a selection committee. The composition of this committee is subject to change. After the committee has made its recommendations, ESAT and SABER project staff draw up an Action Plan. This plan is then discussed with other USAID staff who raise issues regarding the usefulness of the proposed projects or the advisability of

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USAID support for particular organizations. The final approval for project funding is given by the USAID/SA Mission Director in a formal Action Plan Review Meeting.

Influences on the Selection Process

- **Project Structure.** ESAT responds only to unsolicited proposals from qualified organizations operating in a limited number of focus areas.

- **Availability of funds.** The amount of funds disbursed through ESAT changes from cycle to cycle

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- **The 1989 evaluation.** Recommendations encouraging the move towards systematizing the grantee selection process were adopted.

- **Increased applicant pool numbers and diversity** due to decreased suspicion of USAID, increased competition for funding and redefinition of NGO roles in the new South Africa.

- **Other education sector projects.** The presence of SABER has encouraged the grantee selection process to become more systematized.

- **Mission strategy and policy** has two intervention points in the grantee selection process. Selection criteria are adjusted to reflect mission strategy and policy. Action Plan review allows for discussions about the fit between ESAT sponsored activities and the Mission's agenda.

ESAT and SABER grantees are selected fairly using a thoughtful, systematic selection process. Mission values concerning black empowerment and black leadership within organizations are incorporated into the selection criteria. Other selection criteria address issues of effectiveness and organizational capacity. The process is adapted between selection cycles to reflect changes in South Africa's socio-educational context.

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Evaluation Question 2: To what extent has USAID/SA adopted the recommendations regarding adjustments of the sectoral strategy found in Section Six of the 1989 Evaluation Report?

Response Evaluation Question 2

In 1989 an ESAT evaluation was conducted by Dr. Robin Lee and Prof. Tony Morphet. The evaluators concluded that the 32 grant agreements implemented to that point did "not add up to a coherent program which can help to strengthen the opposition movement and carry it through to its goal of defeating the state and ushering in the post-apartheid society." The evaluation goes on to opine that the portfolio is "filled with a host of

small scale projects most of which lack the organizational capacity to absorb and make effective use of large grants."

Although recognizing that during the first three years of the project ESAT was working in a difficult environment where an attitude of experimentation was essential, the 1989 Evaluation Team recommended that ESAT abandon its "loosely structured selection procedures" in favor of three sets of "formal grantee selection procedures." Each set of procedures pertained to a particular "level" of grant. "Level" comprehended a combination of attributes including amount of funding, length of assistance period, and whether the funding was to serve operational, organizational, developmental, or strategic ends. Implementation of this or any other policy is limited by the project's restrictions to respond only to unsolicited proposals.

Taken as a whole, the key recommendation represented a major shift in approach for ESAT. Although still constrained by the need to consider only unsolicited proposals, ESAT moved away from selecting grantees for political and humanitarian reasons (establishing relationships and political credentials; reaching out to educational victims of apartheid), and began to use a more tightly defined developmental strategy with educational as well as political agendas (seeking organizations with the potential to negotiate changes with the SAG; seeking organizations with the potential to produce replicable or sustainable educational goods or services).

ESAT adopted the spirit of the key recommendation in that the portfolio was structured into levels and the overall drift was away from political towards developmental ends. Project staff created two project levels, one assisted by purchase orders and a second assisted by grant agreements, each having slightly different selection criteria and processes. A de facto third level of assistance was created with Phase I SABER. Phase I SABER and ESAT use a common selection process, but SABER applies somewhat narrower criteria for selecting grantees (SABER is limited to responding to proposals in the pre-primary and primary focus areas).

Each portfolio "level" recommended in the 1989 Evaluation had a unique set of specifications governing the grantee selection process. At each "level", the Evaluators specified types of outcomes that should be expected of grantees as well as rules and process the Mission should follow to guide it towards selecting proper grantees.

The 1989 Evaluation ignored certain factors and conditions which restricted the Mission's ability to respond to specific implementing recommendations, such as:

- the pressure on USAID to obligate funds within a particular time period.

- the limited number of qualified applications for financial assistance USAID received within a given obligation cycle (1991 was the first time the agency received more qualified applications than it could fund).

- the limited operational and managerial capacity of the Mission (for most of the project period ESAT was staffed by one direct hire and one PSC).

- the timeframe for officially negotiated change (the alternative education community would be relieved of its obligation to negotiate with the SAG as a direct result of the 1990 unbanning of opposition organizations and individuals).

Despite these caveats and limitations, the Mission was able to put into effect many changes which follow the spirit of the 1989 evaluation recommendations to become more "strategic" and "developmental." In the following Sections, the 1989 recommendations for implementing changes at each "level" are compared to mission practices adopted after 1989 that correspond to those recommendations.

Level One described smaller grants (under $25,000) whose purpose was either to respond rapidly to cases of "real urgency or need in the field of alternative education only" or to kick-start programs that might have "possibilities of entering 'strategic Levels Two and Three.'" "Level One" applications were to be screened by an individual and selected by a small committee ("discretionary fund group") which was also to set the selection criteria. "Level One" grants were to be independently assessed and the results of the assessment reviewed by a "wider group within USAID" with the intention of revising selection guidelines

The mission began systematically to provide assistance up to $25,000 to qualified "grantees" by means of purchase orders (POs). POs bought products and services that would enable organizations to develop their capacity to apply for grants and manage grants. These products and services included strategic plans, improved financial reporting systems, action plans, evaluations, etc. POs also allowed the Project the flexibility to respond to one time costs such as conferences, workshops, study tours and research.

Level Two described the bulk of the redirected ESAT Portfolio. Projects selected for "Level Two" support were to be developmental in nature. In other words, they were to have the "potential to achieve real delivery of educational goods" in any one of nine areas specified by the 1989 Evaluation Team. "Level Two" grantees were to build the basis for improving the quality of education in post apartheid South Africa.

The 1989 Team suggested a two tier selection process wherein sectors would be first chosen (using an analytical grid developed by the Evaluation Team) and programs or projects would be subsequently chosen (using 4 criteria specified by the Team). The analytical grid placed three "developmental" processes on the abscissa (Black Leadership, "Stimulating Developmental Change Processes Within the Education System" and "Opening Routes of Access to Education") and five "political criteria" on the ordinate (demand for services, oppositional profile, organizational development of the sector, cooperative/competitive issues within the sector, over/under supply of sectoral funding).

The four criteria recommended for use in selecting grantees within each sector embraced organizational capacity, quality and cost-effectiveness of deliverables, and

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constituency politics. The Evaluation Team did not specify a formal mechanism for how USAID would review and select grantees at "Level Two."

In 1990 ESAT began to select more grantees whose organizational purpose was developmental (e.g., to produce some definable educational product or service) and fewer whose organizational purpose was humanitarian (e.g. provide immediate educational service to victims of apartheid through support for alternative schools). By 1993, the bulk of the ESAT portfolio did consist of organizations whose activities are developmental in nature and who have the potential for delivering real educational goods and services.

ESAT did begin to consider more systematically the organizational capabilities of proposing organizations and created a mechanism for providing technical and organizational development support to grantees. In order to connect better with trends and events in the SA educational sector, ESAT commissioned a series of socio-educational surveys to assist them in identifying key sectors for assistance. Some staff reported that the resulting surveys have proved to be of limited use in guiding the grantee selection process, others described them as generally informative background documents.

By 1993, the Mission was able for the first time to marry the its strategic and target objectives to the project's goals and purposes. For the first time there were more qualified project applications than there were funds to support projects.

Level Three described a strategy for preparing organizations, their constituents and leaders to negotiate policy changes with the SAG. The Evaluation Team recommended an activist role for USAID in which the agency would "prepare organizations for, help to conduct, conclude and consolidate negotiated gains in freedom, autonomy and specific education rights from the SAG." Although the Evaluation Team did not describe a specific structure for selecting and monitoring "Level Three" grantees they did offer probable characteristics of grantee agencies including: spread of activities, education sector or focus area, delivering "genuine educational goods or services to clients", high profile political leadership, well-inclined to negotiation.

High level, multi-year funding of some ESAT projects can be interpreted as de facto "Level Three" funding. In addition when Phase II SABER comes on line it will meet the spirit of this recommendation by providing technical assistance and training to a negotiating forum for the purposes of formulating policy for a new education system.

ESAT adopted the spirit of the key recommendation although wisely did not follow all of the implementing suggestions. Following the advice of the 1989 evaluation, the portfolio is now more tightly defined and has organizational, developmental as well as educational agendas; focus areas (called sectors in the evaluation) are used to structure the portfolio; formal criteria for grantee selection have been established; and the selection process is more systematic. Some of the evaluation's developmental and strategic recommendations are implemented through SABER.

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Evaluation Question 3: In what ways is ESAT grantee selection affected by: other projects in the education sector (e.g., SABER) and USAID/SA education sector policies and strategies?

Response to Evaluation Question 3

ESAT grantee selection is influenced by the SABER Project. Grantee selection for ESAT and Phase I of SABER is functionally one process, with clear lines of responsibility and authority for ESAT and SABER Project Specialists. This process merger is appropriate and has served both the Mission and grantees well.

Education sector policies and strategies influence grantee selection both tacitly and explicitly. The project staff's common understanding of the Mission's values, policies, and strategies exerts a tacit influence on grantee selection throughout the proposal review, discussion and selection process. Additionally, Annual Action Plan formulation and review allows for explicit discussions of proposals' merit and relevance to Mission education sector policies and strategies.

Grantee Selection As Affected By Other Projects

There are currently three projects in the Education Program portfolio: ESAT, SABER and TEPS. SABER [8], which focuses on pre-primary and primary education, has a direct influence on ESAT grantee selection; while TEPS, a tertiary education project, does not.

Although ESAT and SABER have certain structural similarities (both respond to unsolicited proposals from NGOs in the education sector who have a potential to develop models of interest to a post-apartheid education system) they have different purposes and foci, provide different levels and kinds of support and demand somewhat different activities from grantees.

ESAT is less restricted and more flexible in its choice of grantees. ESAT can provide grantees with assistance in the $20,000, $200,000 or $1,500,000 range. ESAT takes risks and occasionally provides assistance to organizations that are somewhat outside its seven focus areas (e.g., policy formulation and implementation), but whose activities have potential for making significant contributions. ESAT looks for but does not always require program impact assessments and evaluations.

SABER assistance is more substantial ($1,000,000 to $2,000,000 range), and SABER grantees must have proven their effectiveness and organizational accountability. At present,

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[8]   SABER was designed and launched in 1992 to address four main challenges to improving the quality of basic education: curriculum development, teacher training, school administration and educational materials and supplementary aids.

most grantees in the SABER portfolio are former ESAT grantees who: 1) are working in SABER's narrower focus areas and 2) have under ESAT developed the organizational capacity to manage larger grants [9]. ESAT grantees who have demonstrated organizational capacity and who are developing models of potential interest to a new education system but whose purpose falls outside SABER's narrower focus areas can also receive assistance in the $1,000,000 to $2,000,000 range while remaining under the ESAT umbrella.

At this point, *the grantee section process for ESAT and SABER is functionally one process.* ESAT and SABER project staff review all the unsolicited proposals that are submitted and shortlist those that fall within ESAT or SABER parameters. These are reviewed for merit and assessed by the staff of both projects using the same set of criteria. After basic decisions are made, the proposals are separated out regarding which belong to ESAT and which to SABER. This common selection process is appropriate, effective and efficient.

Grantee Selection As Affected By USAID Policy And Strategy

Policy

ESAT was conceived and nurtured within the framework of the Comprehensive Anti-Apartheid Act (CAAA) whose two main goals are to

- hasten the end of apartheid
- prepare disadvantaged South Africans for leadership roles in a post-apartheid South Africa.

The Act specifically states that money be provided to support the education and training of victims of apartheid, including teachers and other education professionals and fund alternative education.

Besides reaching out to community-based initiatives, USAID realized the importance of being involved in the education sector to promote active participation by black South Africans in issues and activities that will lead to the restructuring of the education system.

Strategy:

In selecting grantees, the Mission strategic objectives are incorporated into the education group's Annual Action Plans. In this way, mission strategy is incorporated into the implementation of ESAT and other education projects.

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[9] Mission staff use a gardening metaphor to describe the movement of projects/grantees between ESAT and SABER. They describe the process as one in which seeds are planted and seedlings tended under ESAT then transplanted to SABER for further nurturing until such time as they can bear fruit and survive on their own.

<u>Grantee selection as affected by South African Education Sector Policies and Strategies</u>

Aside from the South African government's education policies, there is no written policy guiding all the education activities in the country. These alternative programs emerged as a reaction to the effects of bantu education, in order to offer supplementary or full quality education to the disadvantaged communities. The programs cover most of the focus areas funded by USAID.

In most cases, the approach in managing ESAT has been "events driven". The ever changing political climate in the country has influenced the choice of priority areas in education. USAID continues to keep a close watch on the South African education scene and trends by:

- Attending conferences and following debates on educational issues of the year. For example, USAID came to know about the National Education Policy Investigation (NEPI) at a conference and realized the importance of education policy and implementation in the ongoing battle to restructure the South African education system.

- Commissioning a Socio-educational Survey each year to record educational issues and events. The survey has been conducted by consultants in the education field.

- During site visits with grantees, USAID uses the opportunity to find out about issues in education which may be considered for funding.

- Meetings with South African educationists

- Meetings with other international and local donors

Analysis

The ESAT and SABER projects share the same selection process and many of the same criteria. Decisions regarding which project a grantee should fall under are made towards the end of the proposal review process. In some instances there is a clear "career path" between ESAT and SABER, in that a few projects move "up the ladder" to achieve the security of higher funding levels and longer grant agreements. As such, <u>some</u> ESAT grantees are selected because they have potential for moving on to SABER.

Since 1990 the Mission has followed rigorous affirmative action policies. In the last two years an increased effort has been made to locate and develop grants with black-led, community-based organizations.

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Evaluation Question 4: Based on a document review of at least 30 grants and illustrated by examples from 20 site visits, what has been the reported progress to date towards meeting agreement and project purposes as set forth in the Outputs section (p. 7) and the Expected Impact section (p.17) of the 1989 PP Supplement?

Response to Evaluation Question 4

There are two parts to this question: To what degree 1) did ESAT sponsored activities meet the purposes and outcomes specified in the grant agreements (grantee compliance rate), and 2) does the cumulative effect of grantee activities move the overall project towards meeting its goals and purposes (project accomplishments).

To answer these questions and give a sense of the scope and focus for this umbrella project's wide range of activities, this section in quite lengthy. It includes four sub-sections: (A) Background, descriptions of the portfolio's scope, focus, spend patterns, and purposes; (B) Grantee Compliance With Agreement Outcomes: (C) Project Purposes and Grantee Activities, a description of project accomplishments by focus area; and (D) Summaro of Analysis.

Given the complexity of the project's structure and the qualitative nature of its purposes, the section on project accomplishments is quite long. To make it more readable, it is divided into 5 focus areas. Under each focus area, the report lists the relevant cases the Team reviewed, presents key issues in that portfolio sections, uses "text boxes" to illustrate points using cases from the portfolio, and concludes with an analysis of that focus area including, when appropriate, issues for further consideration.

A.   Background

ESAT was structured to provide U.S. resources to education organizations working outside of the public sector in South Africa as a means of tapping into an alternate and legitimate framework for providing needed educational services to disenfranchised black South Africans. Resources were programmed as grants to non-government organizations (NGOs).

A portfolio overview reveals that during the period 1986 to 1993 the ESAT portfolio had 81 different grantees. A general accounting of the 81 grantees indicates that 60 of them are still active: nine have active programs managed under the SABER project, and twelve have been closed out. [10]

During the same period a total of 70 grant agreements and 26 purchase orders were negotiated and managed. In short, a total of 96 funding instruments were produced and managed from 1986 to 1993. Of these 96 instruments, 32 were awarded in the years 1986

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[10]   Source: USAID Action Memorandum for The Acting Director, November 13, 1992.

During the same period a total of 70 grant agreements and 26 purchase orders were negotiated and managed. In short, a total of 96 funding instruments were produced and managed from 1986 to 1993. Of these 96 instruments, 32 were awarded in the years 1986 through 1989 and 64 in the 1990 through 1993 period. As of November 1993, the ESAT portfolio is composed of 60 active grantees with a total of 60 funding instruments, 49 grant agreements and 11 purchase orders.

In the Project Paper Supplement (PPS) it was stated that "outputs under ESAT tend to be somewhat qualitative rather than quantitative." The PPS offered these quantifiable outputs by focus area:

- Models for Decentralized Education and Secondary School Remediation— documented experience of at least 12 community-based alternative schools or remediation programs

- Curriculum Development and Educational Planning—the development, publication, and dissemination of some 20,000 copies of curriculum or educational development materials

- Professional Development of Teachers—at least 2,000 teachers will have been trained either in improved methodology or academic upgrading programs
- Preparation for Schooling - community preschool activities will influence some 5,000 children by delivering improved preparation for school programs; and

- Applied Adult Literacy Training—at least 1,000 adults will achieve literacy in their vernacular and/or English.

There are two additional "areas of focus" listed in the PPS for which there are no specific outputs specified. These are

- Expanded Access to Secondary Education

- Post-Secondary School Remediation

As the project has no activities in post-secondary school remediation and only one active secondary school bursaries project (SAAIS) these focus areas are excluded from the project accomplishments discussion (sub-section C). Within these focus areas the project funds three categories of NGOs:

1. Stage One describes a community based organization which still requires institutional development assistance and is usually funded through a purchase order arrangement.

3. Stage Three describes a sophisticated NGO (usually a national organization) which enjoys wide donor support, services a large beneficiary base and whose educational activities focus on large-scale efforts at expansion or innovation. [11]

In looking at the investment portfolio as a whole, the major breakout of the investment pattern indicates the following: $20,412,000 was invested in the seven focus areas, $460,000 was invested in NGOs outside the seven areas of focus, $2,045,000 went for technical buy-ins, while the remaining $1,083,000 financed technical assistance personal services contracts.

Thus, the major portion of ESAT's investment went directly to NGOs that were either working in the seven focus areas or outside of the areas of focus. The combined amount for the two categories of NGOs is $20,872,000 which represents 86% of project funding. *Clearly, the method used under ESAT to manage the project has real benefits over the traditional use of large institutional contractors.* In addition, the method allows the direct USAID staff to be become more involved in strategic decisions concerning project choices. This was the USAID model for operating an Education Division over 30 years ago except that the concept of the buy-in was never thought of at that time.

The following model breaks out spending levels by focus area, buy-ins, and technical assistance.

ESAT Portfolio Investment

NGOs By Focus Areas

Investment Levels	(000)
1. Models for DecentralizedEducation	2,667
2. Curriculum Development and Educational Planning	3,131
3. Professional Teachers' Skills Upgrading	5,897
4. Expanded Access to Secondary Education	825
5. Post-Secondary School Remediation	0
6. Applied Adult Literacy training	4,424
7. Preparation for Schooling and Primary Education	3,468
Total	20,412

	(000)
• NGOs Outside Focus Areas	460
• Technical Assistance: Buy - Ins	2,045
• Technical Assistance: Personal Services Contracts	1,083

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[11] Basic Education Action Plans FY 93: South Africa Basic Education Reconstruction (SABER) Project Education Support and Training (ESAT) Project January 29, 1993

The project objective was to "support indigenous, non-governmental initiatives which test improved models for basic education for disadvantaged South Africans and confront the waste of human resources victimized by the apartheid education system." As such, the project was to provide a foundation for and assist in defining the requirements of a nonracial education system in a post-apartheid South Africa.

Education as a sector is broad and encompasses a wide range of possible activities. The project purposes and outcomes were established to permit the maximum flexibility of involvement in formal and non-formal education activities for black South Africans through the efforts of NGOs operating in particular focus areas. USAID had three expectations for its programs: 1) they would provide credible educational services (service) 2) they would have a potential "multiplier effect" or potential for replicability (reach), and 3) they would promote black empowerment and decision-making and encourage strong community support (empowerment).

The logical framework section of the project paper for ESAT delineates specific project purposes, measures of goal achievement, and means of verification. They are shown in the following table.

Exhibit 1
Logical Framework

Goals & Objectives	Objectively Verifiable Indicators	Means of Verification
Program Goal To promote political and social change in South Africa that leads to an end of apartheid and to a political system based on the consent of the governed.	Progress is made towards achieving significant educational objectives, including the following: - Equal access to educational facilities - Revision of curriculum to reflect black culture, achievements - Participation by the black community in formulating educational policies and managing educational programs	Review of SAG legislation and annual budgets Opinion of prominent black leaders and organizations
Project Purpose To support and expand selected activities in South Africa that advance the black community goals of educational equity and elimination of all forms of apartheid in the content and structure of the educational system in South Africa.	Private groups supported with U.S. funds and technical assistance will have increased their capacity to serve the needs of black students, teachers and parents and to plan and negotiate changes in the present school system.	Black communities being served by effective alternative education programs. Black organizations providing active leadership in bringing about desired changes.
(Planned outputs of each USAID grant will be described in the grant proposals and defined in the USAID grant agreement.)	Illustrative outputs: No. of black-led educational organizations assisted No. of educational planning & research activities assisted	Periodic reports by grantees Visits to project sites by staff of USAID/Pretoria and project consultants Project evaluation

B.   Grantee Compliance with Agreement Outcomes

In nearly all cases grantees were able to comply with the purposes and outcomes specified in grant agreements or meet purchase order specifications.

When asked to identify grantees that were unable to comply with the terms of the grant agreements or purchase orders, contractors responsible for managing the portfolio identified 10 clear cases. 6 more still active cases were described as "at risk" or "borderline" with caveats such as "it is too soon to tell," "although the terms of the agreement are not strictly complied with there are other significant gains made from the relationship," or "it is a failure as an agreement but okay as a project."

Comparing the number of completed agreements (96 total minus 60 active = 36 completed) with the number of completed agreements identified as clearly non-complying (10) reveals a 27% proportion of non-complying agreements. Given the difficulties of the 1986 - 1990 period, a 27% non-compliance rate for grants awarded during this time is quite acceptable. 7 of these grants were in the $100,000 to $200,000 range, 1 was over $800,000 and 2 were in the $20,000 to $50,000.

If you compare the 6 "borderline" cases with the 60 active funding instruments, you get a 10% high risk rate for active grantees. This risk rate is healthy for a project of this sort. It indicates a willingness to take risks in keeping with the "experimental" nature of the project. In 3 of the "borderline" cases the compliance difficulties are not with the technical part of the agreements, but with the organization's ability to comply with the affirmative action stipulations. 2 of the "borderline" cases are purchase orders and 1 more is viewed as a long-term investment in policy research.

C.   Project Purposes and Grantee Activities

In general the ESAT project is on-target in terms of meeting overall purposes and objectives. Given that the objectives and indicators were designed to be elastic and encompassing, a simple accounting of targets and achievements would not accurately portray the project, its accomplishments and limitations. This sub-section provides a preliminary analysis and examples of grantee activities by each the five major focus areas—models for decentralization, curriculum development and educational planning for a post-apartheid society, professional development of teachers, applied adult literacy training, and preparation for schooling.

Based on the sample of 30 grantees (including 22 visits by the evaluation team), the impact on service provision through ESAT has been substantial. According to grantee reports, tens of thousands of South Africans have received direct or indirect benefits as a result of educare providers trained, teachers whose skills have been upgraded, materials which have been developed to help students pass examinations, adults receiving literacy lessons from Adult Educators trained through literacy programs and so on.

Regardless of these impressive numbers (which in every instance far exceed the modest quantified outcomes specified in the PPS), given the scale of need the more critical question becomes: has ESAT supported models that are replicable or likely to have an ongoing impact on the education sector?

Focus Area: Models for Decentralized Education

When the ESAT Project began in 1986 the highly structured, racist system of education permitted virtually no decision-making at any level below the national authority. However, a alternative schools were developing numerous approaches to school governance and support which offer post-apartheid planners tested models to encourage local initiative and flexibility.

USAID invested approximately $2.7 million in a number of community development schools which set out to provide an education for children while large numbers of schools were closed due to student strikes against apartheid policies of the SAG. By providing funding to these so-called "street academies" USAID was responding directly to the mandate under the CAAA in 1986 which called for assistance to those disadvantaged by apartheid. A total of nine community-based schools were assisted from 1987 to 1993 but the majority [6] received funding in 1987 alone.

Although recognizing the importance of these initiatives, the Mission began to retire from supporting individual schools in 1991. The decision had to do with reach (individual schools could reach only a limited number of beneficiaries) and niche (the dismantling of apartheid opened up new opportunities for ESAT investment in NGO activity). Underlying this decision to retrench was the acknowledgment that the State was considering the community-based schools as private schools and would thereby entertain applications for subsidies. Even though ESAT is phasing out its support for community-based schools and secondary school remediation programs, a new government might find an analysis of USAID SA's experience with community-run schools and evening/week-end programs of interest as it continues to explore de-centralized models of public education.

The evaluation team visited two of the USAID supported community-based schools: The Qhakaza School Association, a secondary school with innovative curriculum and strong parental participation in school governance; and the Ikemeleng Remedial Education Center, a Soweto-based special education "magnet" school that hopes to combine outreach and teacher education with a community based program for children with learning disabilities.

Exhibit 2.

Qhakaza School Association

This secondary school was created and controlled entirely through the efforts of black parents. They started the school in 1986 in response to inadequacies of government schools. Even though USAID embraced the value of decentralizing educational control, school officials say that "Originally, there were a lot of arguments with USAID over trustees because we wanted the parents to be trustees and said parents could learn and make major decisions about the school - USAID was not sure about this." Qhakaza parents persuaded USAID and received the initial financial support to which the school owes its existence.

Seven years later, Qhakaza has a roster of teachers who have better qualifications by far than is the norm in government schools and have a commitment from students and teachers to staying in the classroom. This is a real achievement in an educational environment where teachers and students in government schools routinely spend lose weeks of school on end to strikes and disruptions. Qhakaza has provided a secondary level education for an average of 200 students per year for the five years of USAID funding.

Qhakaza has also achieved a very significant breakthrough which addresses another ESAT objective, that of changing educational policy: Qhakaza obtained a government sub-sidy of the type accorded to more traditional schools. In essence, the South African Government is conceding the validity of a type of school that they once tried to shut down. Using a combination of the subsidy, school fees and fund raising, Qhakaza weaned itself from total dependency on USAID funding. "Now," say Qhakaza officials, "the Department of Education and Training [the SAG department for black education] is depending more on schools like us."

One negative impact of USAID funding of Qhakaza, ironically, had to do with striving for self-sufficiency. In 1991, in anticipation of the end of the USAID grant, the parent executive committee doubled school fees, forcing out many of the students and parents who had started the school and helped it grow. Subsequently, USAID decided to continue financial support until the DET subsidy was received.

Factors contributing to Qhakaza's survival include its visionary leadership and its authentic commitment to a participatory process of parental control and decision making. Qhakaza re-invents itself continuously and its leadership shared with the evaluation team diagrams and plans describing an entire pre-school through tertiary education system with multiple, built in school-to-workplace transition programs.

The Ikemeleng Remedial Education Center (IREC) is a good example of ESAT's flexibility. It is essentially a Special Education (SPED) program and does not fall clearly into any one focus area. Even though the organization is not well established and the model and technical approach have not worked out elsewhere in the region, the program has some attractive features.

This grant is an example of USAID incorporating the recommendations of the 1989 evaluation calling for different levels of funding with different purposes. IREC first received a Level One grant: a small planning grant of less than $25,000 in the form of a purchase order. Having performed that task well, recently they received a multi-year grant of more than $200,000 (a Level Two grant).

Exhibit 3

Ikemeleng Remedial Education Center (IREC)

IREC is a community-based remedial education, teacher outreach and public aware-ness project. The school, one with strong parental involvement, seeks to empower com-munities to start remedial education programs at their schools, to pilot a staff training pro-gram using their own school as a laboratory, and to mobilize interest in a national organization on special education.

IREC demonstrates the potential direct and indirect beneficiaries of an ESAT grant. About 200 students with learning disabilities will directly benefit from the staff development at IREC which is part of the laboratory approach to developing a curriculum for remedial education. Such a curriculum, if it can influence schools, can then be of benefit to thousands of children. Also, for the parents and teachers who may be better educated about children who need special education through IREC's outreach activities, many hundreds of children who might otherwise have had an unsatisfactory school experience can be helped.

What IREC is attempting to do is ambitious for a community based and run organi-zation. However, in view of the lack of resources allocated to remedial education in South Africa, it is a potential model from which lessons may be learned.

IREC is an orphan [12] "lab school" type program that hopes to continue providing remedial education to Sowetan children with learning disabilities while training teachers on how to work with children with disabilities and informing parents about how to establish community based remedial education programs.

The program is likely to attract a lot of interest because little is being done in SA in the area of providing teachers and parents with resources to "mainstream" children with learning disabilities. The advantage of the IREC to USAID is that the kinds of skills a teacher will learn through IREC's outreach program (individualized, paced instruction; positive reinforcement; contextualized materials) is also appropriate for the other children under their tutelage. Also, a new government is likely to look to the NGO community and private sector for SPED services for a while.

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[12] Orphan because most lab schools are attached to universities, hospitals, teacher training institution, churches or some other institution that provides underwriter and technical support. IREC is on its own.

This part of the ESAT portfolio has served well USAID's agenda of empowerment in terms of advancing black leadership and community involvement in education. The activities have limited reach, however. Additionally, a systematic assessment of the programs' quality[13] should be undertaken in order to determine if putative models for non-racist education have been developed by these schools.

USAID has acquired $2.7 million worth of information on factors that contribute to and inhibit the success of community based schools and secondary school remediation programs. Although the Mission has decided not to expand this part of the ESAT portfolio, it would behoove the Mission to reflect on the experiences they have had over the past 7 years and if possible share that experience with policy makers. As policy makers turn their attention to trialed non-racist curricula, the experiences of these "street academies" could be particularly germane.

Focus Area: Curriculum Development and Educational Planning for a Post-Apartheid Society

This is a hybrid category which accounts for a total investment of $3,221,000. The breakout indicates that the Curriculum Development portion is made up of 2 NGOs [READ and SEP] which received $836,000 while the remaining $2,385,000 went to 5 organizations concerned with education research, data collection, testing and evaluations, and education policy.

The evaluation team looked at the Science Education Project [SEP], the Independent Examinations Board [IEB] and the Education Foundation [EF] as examples of what has or has not been accomplished under this substantive area of focus.

Curriculum Development is not so much a focus area as it is an intervention. Curriculum development is a component of nearly every program ESAT supports to improve the quality of classroom or adult learning A comprehensive review and analysis of the curricula developed under ESAT over the past seven years would probably reveal that improved curricula are more relevant to learner's experience and invite more active learner participation. The evaluation team looked at the SEP project as an example of a wide-reaching, subject-referenced curriculum improvement project.

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[13] According to project documentation a Community School Review was commissioned in 1988. This Review was to compare the experiences of 7 ESAT supported community-based schools in order to identify common threads and issues. Although the Review was mentioned in education program planning documents, it did not appear in the ESAT files. It is unclear to the evaluation team whether the Review was actually implemented.

Exhibit 4

The Science Education Project (SEP)

The SEP began at Ford Hare University in 1976 to address the need for an interactive approach to teaching science in black schools. SEP has grown into a national organization operating over 30 programs in teacher training and curriculum development and presently reaches over 6,000 teachers and, through those teachers, assists more than half a million pupils.

SEP has become an excellent resource for science educators. The program has developed science kits, worksheets and teacher guides for junior secondary schools. The kits are designed for use in classrooms that lack running water, gas, electricity. SEP provides an in-service training program for teachers that combines workshops with follow-on classroom visits.

With assistance from USAID, IDT and other donors, SEP has grown into a national organization that operates 30 individual programs in teacher training and curriculum development. SEP reports that its methods should benefit over half a million pupils.

SEP received $90,000 USAID support in 1990 to conduct a feasibility study for the establishment of a Science, Math and Technology Curriculum Center. A second grant ($476,000) was awarded in 1993 to develop a SEP pre-service training project. The grant will allow TTCs to incorporate SEP methodology into their courses. Additionally, the grant will train apprentices in SEP's research and curriculum development units and support the use of outside consultants.

As about 80% of black science teachers are un- or under-qualified to teach science, the SEP in-service training programs and their kits, worksheets and teacher guides (that help teach "hands on" science under bleak conditions) should be of interest to a new government's educational policy makers.

Educational Planning and policy is a field with few entrants simply because in South Africa's highly centralized and authoritarian education system, no alternative voices were allowed. This has changed as a new dispensation appears eminent. Accordingly, the ESAT portfolio made greater provision for these types of organizations after the initial Project Paper (see chart in "Action Memorandum for the Acting Director," November 13, 1992; p5).

Although NGO involvement in policy formulation remains fairly minimal because of their late entry to the field, ESAT has provided support to two outstanding successes, IEB and EF.

Exhibit 5

Independent Examinations Board (IEB)

The IEB is pivotally placed to impact education policy in the areas of examinations and curriculum development after a democratically-elected government is in place. There is some evidence that in a future education system the IEB may be the independent body certifying exams at exit points in the system (end of primary, middle and high school).

The independent school sector, which until recently included all of the nonracial schools, needed a body to develop and administer public examinations as an alternative to government exams. The window of opportunity was created in 1987 when the Joint Matriculation Board, the statutory body responsible for setting exams and moderating other examination boards, was abolished.

Originally formed to administer public examinations, develop curricula and provide a support system to teachers and school administrators, the IEB presently seeks to redefine what constitutes socially relevant knowledge and skills in South Africa. In an education system where what is examined defines what is taught the IEB is seeking to leverage qualitative change throughout the system by developing high quality non-racial exams.

USAID is providing $500,000 over two years (8/92-8/94) to develop intermediate and end of primary formal examinations to be used for Adult Basic Education certification. This year IEB piloted its examinations for history and geography. IEB Director of Formal Examinations Clive Talbot explained, "This is a certificate driven society." This was by way of explaining the symbiotic relationship between formal and Adult Basic Education theory and practice. IEB works closely with teachers to look at the syllabi and develop examinations. IEB's work will ultimately impact tens of thousands of youthful and adult students taking examinations.

The value of IEB as a "forceful proponent for change", to use USAID's words for that it was trying to achieve, is already being demonstrated by IEB. Peliwe Lolwana, Director of Communications & Networking, a position funded with the USAID grant, said that government representatives are among those that they invite to various forums for consultation purposes. "We are leading the field," says Talbot. And because of IEB's close working relationship with all of the major decision-makers and a wide range of practitioners, it is reasonable to assume that their pioneering work will be embraced in a new government's education portfolio.

Exhibit 6

The Education Foundation (EF)

Started in 1990, the Education Foundation is an independent, non-aligned trust established to facilitate the development of a nonracial, affordable education for all South Africans. To achieve this it developed three objectives: 1) to assist in the process of education policy formulation through provision of educational data, original research and access to comparative world wide educational experience; 2) to facilitate forums where open debate can occur and informed decisions are made; and 3) to develop and pilot initial ideas and programs.

Although the EF has developed four areas of activity, USAID provides assistance to one area only, EDUSOURCE, a user-friendly education data base and research center with computer modeling facility. An ESAT grant of $925,000 partially supports four of EDUSOURCE's priority areas: a Policy Support Unit (supports policy options modeling process); dialogue support and conferences; database development and original research; and, dissemination of information.

EDUSOURCE mainly collects, interprets and disseminates existing educational data or research although it has plans to conduct original research in the near future. In a given month EDUSOURCE responds to eighty queries from university education policy units, nongovernmental organizations, the African National Congress Education Desk, corporations, the Johannesburg Library, the London Business School, etc. Query content ranges from educational statistics on every level to a listing of organizations working in a particular sub-field of education.

Another area of current activity is in the School Mapping model building area. EF is testing the appropriateness of a computer based School Mapping model called the Geographic Information System (GIS) model. GIS fills a vacuum because there has been no methodolcgy for placement of new schools in South Africa: "The SAG has no spatial planning capacity," according to Peter Badcock-Walters of EF. GIS uses computer software systems to insert fine grained census information and geographic information for comparative analysis.

One additional area where EF is active is in using the Assessing Policies of Education Excellence (APEX) system to support the development of informed educational policy. Orienting education decision-makers on the scenarios processed by APEX has enabled EF to bring together the Director Generals of government departments, the ANC and the key education NGOs. EF found, "These policy models are facilitators, drawing together people into a dialogue support process. We act as marriage brokers building relationships of trust."

EF feels confident that the combination of institutional and commercial users of its services will allow the organization to become self-sufficient in the medium term.

The project should consolidate and reflect on the lessons learned from seven years of curriculum development support in a broad array of geographic and subject areas. The team's impression is that the curricula developed by the grantees are credible and worthy. However, as is the case elsewhere in the region, the problem with curriculum has not been its development but its sustained implementation. Although NGOs are well positioned to develop credible curricula, it is the state that determines its reach.

Focus Area: Professional Development of Teachers'

This focus area is central to the ESAT investment portfolio accounting for $5,897,000 or 25% of the $20,872,000 invested in NGOs. This is not surprising as it is hard to imagine an educational program that does not have a teaching skills improvement aspect. ESAT has supported activities ranging from training primary and secondary principals to specialized teaching for teachers of English, training junior primary school teachers in Soweto how to teach math conceptually, preparing teachers to pass the matriculation examination, and training so-called marginal adults to be tutors of teachers of English. The variety is stunning. What needs to be captured now is what actually has been produced and what is its impact.

To accomplish this task a sample of 7 NGOs from this focus area were used as a basis for getting at the performance question. These were SPEAK, Maths Center for Primary Teachers [MCPT], English Language Education Trust [ELET], Teacher Opportunities Program [TOPS], Project Matriculation [PROMAT], Cape Teachers' Professional Association, and In-Service Education and Training [INSET].

Both MCPT (9/89-9/95, $280,000) and ELET (9/89-7/92, $150,000) have developed models for in-service teacher upgrading which combine formal workshops and extensive classroom support visits. MCPT works with elementary school math teachers, ELET with primary and secondary school English teachers, especially when learners use English as a second language. MCPT's pilot programs focus on teachers in Soweto. ELET is Durban based. Both serve populations where teacher competency in the subject matter is deficient.

Exhibit 7

The Maths Center for Primary Teachers (MCPT)

The MCPT Program is designed to improve the quality of mathematics instruction through the use of teacher advisors or "facilitators" in Soweto primary schools. USAID began funding MCPT in 1988. Since that time teachers in over 100 disadvantaged schools have attended MCPT workshops. USAID funds are used to support the teacher advisors who help teachers incorporate innovative methods of teaching mathematics, first learned at workshops, into the classroom.

The MCPT uses an in-classroom teacher mentoring model with training, materials development, and follow-up peer support components. The model's effectiveness in terms of impact on individual teachers and schools is well documented. It is an extremely effective in-service teacher upgrading approach for improving instructional behaviors of individual teachers who are supported by their head teachers.

Asked what was important about what they do, MCPT director, Jean Patchitt said, "We create structures for after MCPT facilitators have spent time with the teachers in the classroom. We help teachers look at the entire curriculum - we help teachers research their practice." MCPT has helped to structure inter- and intra-school clusters or collaborative structures of mathematics teachers through workshops.

The facilitators who make the outreach to Soweto schools possible are all black and compensated with USAID funds. MCPT has developed their model of facilitation making their professional skills development integral to the project. Ms. Patchitt says, "The grant from ESAT was important, because it provided the security of tenure for high caliber staff, for the program developers who provided the basis for the facilitators. USAID resources have been critical in reaching project goals. The first phase of the grant with the pilot facilitators proved the efficacy of the classroom approach."

An unexpected project benefit has been materials developed in the classrooms, through the input of the facilitators supported by the ESAT grant.

The problem with the approach is the expense of the model's key component, the one-on-one mentoring segment. The question of how a model can be taken to scale is unclear. As stated during a meeting MCPT had with Jonathan Jansen of ABEL to plan for their evaluation, the questions were:

- What is required to take the product into the multiplying mode to effectively benefit as many Maths educators as possible?
- What are the implications of becoming part of a national network without losing the quality of the product?

TOPS and PROMAT are examples of teacher development programs. In both these programs teachers receive academic study that leads to matriculation certification. TOPS maintains thirteen centers (in some instances the centers are school based and move after teachers in the vicinity have had an opportunity to attend the TOPS academic program) and supports three types of teacher upgrading courses.

TOPS' objectives were to improve teaching performance in math, English, and science, thus better the learning situation in black schools. Under Project SABER TOPS will train principals in order to address issues of improvements in school management. There are plans to develop an evaluation process in 1994 to determine the impact of the program.

What is distinctive about TOPS is that it is a nationwide program (supported by many donors), literally a parallel teacher training operation to that of the State. If it can prove the efficacy of its methodologies, it will be a facility that could be a natural service provider to a new government.

PROMAT (9/89-6/94, $2,505,900) upgrades non-matriculation teachers in an intensive one year course and provides a correspondence course for those who cannot attend classes. This is particularly attractive to teachers from rural areas—who are greatly under served 90 percent of PROMAT's teachers—came from rural areas in the past three years

The special features of the PROMAT approach are its loan scheme and that it is implemented jointly with the African Teachers' Association of South Africa (ATASA). The PROMAT/ATASA partnership is supporting ATASA's objectives for teacher upgrading after an initially disastrous undertaking with Florida Memorial College in the early years of the grant.

PROMAT's approach incorporates an in-service education center. Their courses are also available for adult learners who are not teachers. The success of PROMAT is substantiated by a more than 90% pass rate for students writing the matric exam in 1991 and 1992, and over half obtaining university exemption. This compares to a pass rate of a little over 40% for Africans in government schools.

SPEAK (8/91-12/94, $300,000) trains "barefoot" teachers. It uses an innovative attempt to upgrade youth with leadership potential in a community to become teachers. Participants get on the job training as they provide supplementary English lessons to students at the SPEAK center and in schools in Alexandra, an economically depressed black community bordering Johannesburg.

For these five ESAT-supported teacher training projects, teachers are direct beneficiaries and students are indirect beneficiaries. MCPT, ELET and SPEAK each trained fewer than a 100 teachers in the pilot stage. TOPS has moved to a regional scale and trained 1,300 teachers and principals. PROMAT's assistance has allowed upgrading of 3,000 teachers. These 4,600 teachers and principals in turn teach or make decisions about the education of about 175,000 students. This is based on the 1992 pupil/teacher ratio in African non-homeland schools of 38:1 (averaging primary schools and secondary school ratios).

Thus, ESAT has more than reached the indicator of 2,000 teachers trained either in improved methodology or academic upgrading programs set in the Project Paper Supplement.

The qualitative aspect is, however, equally important. ESAT has developed a menu of proven alternatives for teacher upgrading. While the cost per training unit has to be compared with other options, the research and development costs for these models have already been disbursed. Will the impact of the models developed by these projects be felt through the government school system after the new political dispensation anticipated to begin in May 1994? The fact that a complementary project to ESAT, SABER, has committed continuing funding to both ELET and TOPS would indicate that both of these two large scale projects are seen as potential service deliverers in the new administration, either on a contractual basis or operating as they are now on a parallel track.

Focus Area: Applied Adult Literacy Training

Applied adult literacy training is one of the most important and one of the most discouraging areas for education sector activities. It is extremely difficult to get reliable data on rates of enliteration against which to compare the reported success rates of a particular program. Data provided through the World Bank and UNESCO reveal high drop-out rates and high cost/benefit ratios. Typical problems with literacy projects include lack of literacy standards, absence of suitable instructional or practice materials, shortage of trained literacy teachers, absence of literacy measures, and over reporting of results. Governments take a sporadic interest in addressing the issue of illiteracy (typically high following independence or revolution then dropping off), and literacy work is usually left to the non-government and private sectors.

Nevertheless, the evaluation team encourages the Mission to maintain its strong commitment to adult literacy training programs. It is estimated that nine to thirteen million adults are illiterate in South Africa. Many of these are from the "lost generation" of young, black adults who joined the school boycotts of the 1980s and have had little and inadequate formal schooling. Now these adults and young adults are being asked to participate in a new, democratic SA without the basic literacy skills and fluency in English necessary for inclusion. Left unaddressed, the needs of millions of uneducated black South Africans pose a strong threat to SA's future, both in terms of unemployment and the inability to participate in new democratic institutions.

In terms of investment concentration, Applied Adult Literacy Training is second to Professional Development of Teachers', with an investment of $4,424,000. This is fitting as 13% of education NGOs in SA have literacy as their main area of operation and 15% have teacher upgrading as their main activity. As many as 19 different NGOs have received grant assistance funds to conduct programs. Funded activities have included support for important networking functions, restructuring strategic planning objectives, literacy materials development, and literacy-teacher training for improving adults' literacy skills in African languages.

The five ESAT grantees surveyed by the evaluation team demonstrated the importance of NGOs in supporting this area of education which serves an estimated 10-15 million illiterate adults in South Africa. The five grantees are Forum for Adult and Continuing Education (FACE-NATAL), Forum for the Advancement of Adult Education (FAAE), Operation Upgrade (OU), Project Literacy (PROLIT), and the South African Committee for Higher Education (SACHED).

Grants to these organizations support three kinds of adult education and literacy activities: (1) literacy materials production (Ons Leer Mekaar and SACHED); (2) networking and coordinating organizations involved in ABE activities (FAAE and FACE-NATAL); and (3) staff development, teacher training and organizational development support for mature organizations providing direct services in the ABE sector (PROLIT and OU).

With the exception of PROLIT which began in the 1970s, SACHED which began in 1959, and OU which was established in 1939, these are all younger organizations. FACE (9/93-9/94, $25,000) and FAAE (3/91-3/95, $213,460) are associations, providing networking and training of trainer services to many other adult education organizations or practitioners. OU (8/93-8/95, $255,000) and PROLIT (12/87-8/95, $1,161,000) provide both direct services and train teachers for literacy programs in African languages and English. OLM (8/93 - 8/95, $215,000) and SACHED Trust (9/87 - 9/90, $208,000; 8/92 - 8/94, $400,000) produce adult education and literacy materials .

Networking

The evaluation team looked at two networking, research and consulting organizations in the adult education and literacy area; FAAE and FACE-Natal. Networking is a critical issue in literacy work in South Africa as many of the adult education efforts are fragmented and teachers often work in isolation without access to materials and successful teaching strategies used elsewhere. Few organizations exist to foster networking and outreach among adult educators. Adult education, though paramount in importance to the immediate future of democracy and development in SA, is often neglected and subordinated to other educational concerns.

It is probable that a major national education campaign will be launched in SA's future. For such a campaign to be successful, an education infrastructure with shared information, techniques, materials, strategies and policies is essential. USAID is supporting two organizations that are directly addressing these issues, FAAE and FACE-Natal.

Part of the intention of funding FAAE was that they would bring together a nationwide network for adult education. It appears that this will be a more difficult feat than originally anticipated. The grant to FACE-NATAL is for a similar purpose (i.e., another nationwide network), but it will not be until 1994 that the activity can be assessed.

SACHED Trust and Ons Leer Mekaar produce literacy and adult education materials. SACHED's materials are in OLM's in Afrikaans. SACHED's origins were in tertiary education and OLM' in community-based literacy work. SACHED's distribution is nationwide and OLM's primarily in the Western Cape. Both hope to gain self-sufficiency through their publishing efforts.

Exhibit 8

SACHED Trust

SACHED Trust was established to combat the imbalances created by apartheid education and to facilitate the establishment of a post-apartheid society through programs in nonracial education. The Trust was established in 1959 when the SAG introduced legislation to create racially and ethnically separate universities. The Trust sought to provide alternative educational opportunities for students pursuing a university education. Since then, the focus of its programs has changed to adult education. As the basis for all its projects, SACHED Trust has articulated an alternative vision of education which includes critical thinking, an independent learner-cantered approach, relevant social reality and cooperative learning.

SACHED, established in 1959, is one of the older players on the South African alternative education scene. Early in the ESAT project they received $208,000 (8/87-12/90) for emergency bursaries for post-secondary education and a bursaries board for Khanya College, an indigenous bridging program for black students to gain access to universities.

SACHED has a long track record of materials and curriculum development for distance education, adult education on secondary level and supplementary education for secondary and tertiary students. Its second ESAT grant of $400,000 (8/92-9/94) is for materials development. SACHED's strategy is to develop books for an environment which has few teaching aids. They have found that curriculum change can be led by publishing because of the lack of teaching resources in certain areas. The USAID grant supports publication of specific textbooks and a magazine, "Upbeat," (an educational magazine for teenagers) with a complementary teacher's guide.

The Trust has five active projects: a secondary level correspondence program, an experimental university level program, a training program for community-based adult educators, a training program for distance educators and administrators, and a mass education program through the media, including the publication of educational inserts in newspapers and magazines.

The present agreement supports the production of "Upbeat" as well as the direct costs associated with five educational books which feed directly into community based learning centers.

"Upbeat" has been in production for ten years. Over that time it has built a strong reputation for helping to develop a culture of learning in SA and spread the idea of democratic education. The magazine is formatted in a manner that is appealing to teenagers and discusses topics that are relevant to young people. "Upbeat" is reasonably priced and enjoys a wide readership. The magazine is also regularly used in classrooms throughout the country.

USAID's support for Upbeat came at time when funds were "urgently required to get through a transition period and explore the future" stated editor Harriet Perlman.

Exhibit 8 (cont.)

SACHED (cont)

The intent of the funding for both projects is to support long term self-sufficiency. In the case of books, SACHED is moving away from self-publishing to working through partnerships with companies with distribution expertise. With "Upbeat," USAID funds are providing professional assistance in developing an outreach program to establish a network of advertisers or sponsors for the magazine and its income-generating spin-off activities. As an innovator in educational publishing in South Africa - encompassing chemistry, English, history, mathematics, biology -SACHED has experience in piloting publications which then create additional demand for high quality educational materials. This is likely to be the case with the books supported by the USAID grant.

SACHED's Publishing Project began in 1983 to increase the outreach and longevity of the best of SACHED's materials. SACHED books are distributed through community-based learning centers. It is hoped that SACHED will become fully self-sufficient in publishing given the kinds of books produced and the large audience for whom the books are intended (low income, historically disadvantaged black South Africans).

Exhibit 9

Ons Leer Mekaar (OLM)

The magazine Ons Leer Mekaar assists marginalized, Afrikaans speaking blacks from the Cape Province not only by aiding their efforts to learn to read, but by providing accessible articles on important topics such as AIDS prevention, language policy in SA, the role of the police in rural towns. protection under the Peace Accord, and prospects for rural development.

In the mid 1980's progressive non-governmental organizations involved in literacy work in the Western Cape introduced Afrikaans adult literacy classes to the area. Literacy teachers from these organizations soon found that their own work and the progress of their students were limited by the absence of appropriate reading materials for adult learners. The lack of resources brought these teachers together, who created a pamphlet in Afrikaans which combined translations of articles from magazines such as "learn and Teach" with locally-relevant articles written by the volunteers. The pamphlet was called "Ons Leer Mekaar," or "We Teach and Learn from Each Other."

In 1989 the teachers received financial contributions to expand the pamphlet into a magazine. Since 1990, the demand for OLM has increased, as residents of the communities it serves have sought accessible information about the changes occurring in South Africa. The rapid growth in demand prompted the Editorial Collective to initiate a strategic planning process. Several crucial areas in need of development were identified as part of this planing process.

The grant from USAID assists OLM as it increases the quality, length and circulation of issues published and year and strengthens the institutional capacity by implementing recommendations made during the strategic planning efforts. USAID funds will support printing and publications costs, marketing and community outreach efforts. USAID assistance will also assist research on means of assessing the suitability (readability) of written text for various reading levels. Some support for core editorial staff is also provided.

Exhibit 10

FAAE and FACE-Natal

FAAE is a nonracial, nonpartisan NGO dedicated to the advancement of adult education in South Africa through networking, information sharing and outreach among educators, community and educational organizations, and policy makers. USAID funding is aimed at increasing access to educational resources among SA's adult educators; facilitating discussion, planning and sharing of educational strategies and materials ; and helping shape educational policy.

Established in 1989 by adult educators who believed that adult education of disadvantages South Africans was largely ignored, the organization now has over 500 members. FAAE activities include publication of a quarterly magazine for adult educators, conducting seminars, workshops conferences and staff training; networking, community support/liaison and action research projects.

At present its activities are in the PWV/Transvaal areas and it intends to expand nationally and create international links.

Although FAAE organized in response to a need, it appears to be having difficulty in deciding what it can and cannot do within its resource base. "As a forum you can't always say what you're going to do," observed Coordinator Dee Roup.

The USAID grant was intended to support and strengthen FAAE, its resources supported outreach and publication of a directory of members. Initially FAAE saw itself as a national networking organization but soon found that regional turf protection instincts were strong; it is now moving cautiously toward a national alliance relationship with other regional bodies.

FACE-Natal, another ESAT grantee, is such a regional body. This organization, however, is at the fledgling stage, still developing structures, working with volunteers and one staff person. The ESAT purchase order is enabling FACE-NATAL to do a needs analysis and conduct preliminary networking/coordinating organization for ABE in Natal. It is yet to be seen if the organization will be able to become an effective body fulfilling its purpose. The ESAT purchase is "seed money" that may help getting going on their mission.

Two USAID grantees—PROLIT (Project Literacy) and OU (Operation Upgrade)—provide direct service in the area of adult education and literacy and use USAID funds to train literacy workers and expand services through replication. Both these organizations are mature and have spent years developing programs they believe to be effective. USAID is helping both these organizations with issues of organizational growth and development as well as providing assistance to enhance technical capacity.

Exhibit 11

Project Literacy (PROLIT)

PROLIT is a Trust Fund created in 1986 by people previously involved in the Ikageng Literacy Association (begun in 1973). For more than 12 years this association operated up to 9 small-scale, largely voluntary programs using the facilities of local, private schools. The program grew from focusing only on basic literacy to providing tuition up to the Standard 8 level. Ikageng counts 2000 individuals who have become literate through their main education center facility alone.

PROLIT is one of the most sophisticated and experienced literacy NGOs in South Africa and will continue to play an extremely important role in combating illiteracy for years to come. PROLIT has played a leading role in adult literacy and had developed exemplary in-service training programs and successful curriculum for mother tongue literacy (in collaboration with the Molteno Foundation). They have also developed an outreach program that assists communities to develop their own literacy programs. These models should serve community-based literacy organizations nationwide. USAID refers many community literacy groups to PROLIT for Mother Tongue literacy teacher training. PROLIT has also worked on key issues of literacy retention as well as program development, accreditation and certification. In terms of policy, PROLIT has been active in developing an adult education sector strategy paper (this activity is not funded by USAID).

A particularly attractive aspect of PROLIT's model is the community support evidenced by people donating their skills free of charge. People who live in the community offer skills to help people read and write and cope with urban life. This feature is very important when trying to leverage resources in a drastically under-resourced field.

In 1987 USAID provided $635,000 of funding in support of their literacy teacher training programs. A new agreement was reached in 1993 for $700,000 to support PROLITs teacher training course for grassroots communities, the development of an English as a second language course, as well as organizational support and a programmatic evaluation.

Although work began in 1973, until USAID funding was received in 1987 it was a mainly volunteer effort operating with small grants. "USAID funds really kick-started us," they said. "USAID definitely helped us at a time when we were professionalizing and expanding the kinds of services we provide - helping communities start their own literacy projects, researching innovative methods, curricula and materials."

"Now, we've grown to the point where we can attract major funding from other donors and USAID represents only a small part of our financial support."

Exhibit 12

Operation Upgrade (OU)

Operation Upgrade is the oldest and largest literacy NGO in South Africa. In existence for over 25 years the organization has trained over 13,000 adult literacy tutors in all regions of the country. At present, 4,000 trained literacy teachers are using Operation Upgrade materials and methods. The materials and methods have not changed since the organization's inception in 1966 and are grounded in the Laubach literacy method.

Since the death of OU's founder the organization has undergone dramatic transitions. OU has changed its methodology and materials. The new materials emphasizes learner involvement and uses a language experience approach. OU's new programs add community leadership skills training to its core mother tongue and English literacy training approach.

In 1993 USAID agreed to provide $255,000 to assist OU. USAID funding will be used to re-train tutors, develop new materials, create a tutor network support system and conduct an evaluation.

Focus Area: Preparation for Schooling

The vital importance of the early childhood years to the total development process has been widely documented. As the period most critical to the acquisition of basic learning skills, abnormal disruptions and disturbances can have life-long detrimental consequences. In a broad range of contexts, studies have yielded similar findings: children of disadvantaged backgrounds frequently come to the formal school setting with limited language ability, a low level of curiosity and a lack of experience in coping with the kind of intellectual problems which often arise in the classroom.

The problems particular to preschool education have only recently received attention in SA. The social and political policies of apartheid, coupled with economic necessity, have meant that often young children have not been adequately educationally stimulated or encouraged at home.

To date the SAG has made virtually no provision for preschool education for black children. Those preschools that accept black children are privately run but often understaffed and enjoy few resources. Preschool education is likely to remain in the hands of the private and NGO sector for some time.

USAID has supported and should continue to support efforts in the pre-school area. The survey team visited six educare grantees: Early Learning Resources Unit (ELRU) (7/90-6/94, $250,000); Grassroots Educare Trust (Grassroots) (9/87-5/92, $310,000);

Entokozweni Early Learning and Community Service Center (Entokozweni) (3/89-7/93, $125,000); Training and Resources in Early Education (TREE) (5/89-5/95, $450,000); Umzamo Development Project (Umzamo) (6/92-6/94, $25,000); and Southern African Association of Early Childhood Educare (SAAECE)(6/89-5/95, $440,000).

The first four projects all support preschool teacher training and materials development for disadvantaged black communities. Umzamo operates a pre-school for communities where there are hostels for migrant workers. SAAECE accredits preschool teacher training courses and operates as an umbrella body for regional preschool bodies, lobbying and promoting policy outreach.

ELRU, Grassroots, Entokozweni and TREE differ in their geographical coverage. ELRU is in Cape Town but provides its services nationwide and upon request trains teachers from outside South Africa. Grassroots confines itself to the Western Cape including outlying rural areas. It is just embarking on a national outreach program. Entokozweni operates in Soweto. TREE is based in Natal. Umzamo services a single community of ex-hostel dwellers in Cape Town.

Umzamo has an organizational development grant, designed to allow the staff of a project serving a particularly disadvantaged group to develop a service model. Unfortunately, after over a year, the group is behind in its reporting, and staff changes have militated against their utilizing the purchase order as originally intended.

Grassroots, ELRU and Tree have all been highly successful in perfecting or refining existing models of training of trainers for educare. They each service large numbers of preschools. Grassroots teaches communities how to set up preschools—training not only the teachers but the parent governing body as well—and then provides ongoing support. Direct services as a result of ESAT funding, estimates Grassroots staff, reached about 100,000 children during the 5 years of funding. Overall, based on the 4,000 sets of materials in circulation for running preschools, they estimate its programs have serviced 400,000 preschoolers. ELRU estimates that it reaches 800,000 youngsters through its direct and indirect interventions. Through this one project alone, ESAT has far surpassed the indicator set for the program of providing preschool services to 5,000 children.

Exhibit 13

Grassroots Educare Trust

Grassroots is a preschool resource center based in the Western Cape. In the absence of state provision of preschools, Grassroots trains and places Educare Advisors and Community Workers in communities requesting that assistance.

ESAT provided $310,000 (1987 - 1992) to expand outreach, support staff training, provide educare workers with relevant training materials and conduct a feasibility study for the construction of a training center and offices.

Outreach activities include Grassroots' direct preschool assistance programs that operate in response to community requests for upgrading or establishing new preschools. More than 80 Educare Centers are presently affiliated with Grassroots. Grassroots' outreach strategy is to establish an outreach office in interested communities staffed by a team which provides on-going support and on-the-job training for the staff and executive committees of affiliated Grassroots preschools (called Educare Centers).

In terms of training, the USAID grant assisted in staff development for the Curriculum Unit. After attending a High Scope training program in the US, curriculum unit staff members developed materials and handbooks for training educare workers and community educare facility executive committees. These handbooks cover topics in running and registering educare centers.

Grassroots currently has a $1,000,000 3-year grant from the SABER project.

Exhibit 14

Early Learning Resource Unit (ELRU)

ELRU is a non-racial independent organization administered by the Cape Educational Trust. Established in 1978, ELRU works to help improve the education and care of oppressed and deprived children aged 0-6. Parent education is a component of the ELRU program. ELRU helps communities improve preschool education and care through training programs and materials and providing consulting services for teacher and parents in rural and urban areas. More than 6,000 adults have participated in ELRU training and more than 7,500 parents have been reached by ELRU awareness programs.

USAID provided ELRU with $250,000 (1990 - 1994) to train preschool teachers and provide adequate learning materials. The grant is used for staff development and general support in the areas of rural outreach, parent and community education services, and information dissemination and program development services.

The Staff Development part of the grant was specifically to provide opportunities for disadvantaged South Africans to advance to senior positions within the ELRU organization. Program Assistance in rural outreach developed parent awareness training, childcare worker training and the facilitation of local support networks for educare workers. The outreach targeted rural areas of the throughout the Cape. Parents and community education support was provided through consultation and workshops for childminders and play groups. Information and dissemination services disseminated information related to young children and preschool issues through the ELRU newsletter.

In 1993 ELRU was granted an additional $1,150,000 through the SABER Project to, among other things, develop an anti-racism training program.

As was the case with FAAE in the field of adult education, ESAT funded SAAECE as an umbrella organization with the intention of strengthening the network of organizations in the field. Regional and other political factors were not taken into consideration, and it appears unlikely that the organization will have difficulty fulfilling that aspect of its grant objectives.

However, SAAECE has been able to make a significant impact in the area of accreditation, helping to professionalize the field and set standards.

Exhibit 15

Southern African Association for Early Childhood Educare (SAAECE)

SAAECE, a private NGO, is concerned with strengthening the quality of education and care provided to pre-school children. Since 1939, SAAECE's program focus has shifted to emphasize quality educare for disadvantaged children at the grassroots levels. SAAECE performs a number of highly visible roles at the national level, including lobbying with the government and other political organizations, accrediting of preschool training courses, and networking both nationally and internationally.

USAID has supported the institutional development of SAAECE and its efforts to become a lobbying and coordinating body for pre-primary education in SA. Structurally, SAAECE is composed of a small national office and ten regional affiliates. General direction and policy are determined by a National Council, which provides for representation from each regional affiliate and meets annually. The Executive Committee is appointed on a regionally representative basis to carry out SAAECE policy. USAID has provide support to SAAECE's advocacy and lobbying for equity in pre-school issues and to increase its national profile.

Analysis

Like adult education, the field of early childhood education receives minuscule government support and merits donor resources. However, unlike adult education which can be viewed as an governmental imperative because of the massive numbers of illiterate, unskilled adults in South Africa, educare can be seen as the responsibility of parents or the private sector. This is notwithstanding the research confirming the positive long-term effects of preschool education. Educare providers point to quasi autonomous relationships between NGOs and government in educare provision in Western countries. The question is when will a future SAG be ready for this relationship. Will the model be sustained that long?

The interviewees demonstrate that ESAT funds have enabled strong regional models of educare training to flourish. It is very difficult to anticipate at this point if they will have a place in a post-apartheid educational system or if they will continue, as they are now, to be totally donor dependent.

D.   Summary Analysis

In terms of meeting project purposes and outputs ESAT is on target. ESAT has thus far made grants which total approximately $24,000,000. Of this amount $20,872,000 was invested directly in 81 NGO's while the remaining $3,128,000 went to technical assistance buy-ins and personal service contracts.

With its investment USAID bought three products, namely: (1) political credibility within the key circles of development in South Africa, which should further assist USAID in carrying out its program strategy during the period of reconstruction [1994- 1999]; (2) positioning the NGO community as a valid voice to be heard in the policy debates taking place in the education sector; and (3) a few new and innovative education activities that have the potential to provide the transitional government with needed education services in the fields of curriculum development, professional teacher upgrading, and preparation for school and primary education.

ESAT has been an extremely effective project by supporting the growth and efforts of small to mid-size NGOs and enabling a few larger organizations to undertake specific new tasks or impact national policy. The Mission requested that the evaluation team take look at the ESAT portfolio from two perspectives: impact on beneficiaries and the potential of some of its grantees to go to scale.

Comparing impact to need, the project's service efforts appear weak as only an insignificant proportion of beneficiaries was reached by grantees in any focus area. Some of the ESAT Projects have developed models for teacher education, curriculum development, adult education and pre-school provider training that could be replicated or adopted by government. But, they are as yet untested at scale. A few (8) will be expanded and evaluated under SABER. At least two more will be expanded and evaluated under ESAT.

Evaluations of potential models must be done carefully and difficult, non-technical issues must be examined. Promising pilot projects often fail when attempts are made to go to scale. There are many serious issues that need to be pondered before suggesting that a particular model or approach could be effective at scale.

On the cost side, evaluations of ESAT-assisted models need to be extremely careful in calculating the true cost of the effort. Market rates for volunteer and unremunerated overtime must be calculated into the cost as "founder's fervor or fever" cannot be counted on to propel a project to scale. Evaluators need to establish the recurrent costs as well as the developmental costs of an intervention. A large percentage of recurrent costs will be payroll, as it takes constant vigilance and re-training to change instructional behavior.

On the impact side, evaluators should be extremely skeptical of interventions that claim near term success rates (two to five years) that are orders of magnitude beyond normal success rates for that sector. For example, if literacy rates are normally 20% over a two year period (i.e. 29% of the participants achieve functional literacy within 2 years), and a project reports 80% over 6 months evaluators should be skeptical. Not because the results are over reported, but because factors that lead to these rates (e.g., near evangelical fervor of the staff, volunteers and participants; training conducted by gifted teacher trainers) are difficult to replicate. Evaluators should ask if ordinary people could achieve the same results.

When education projects go to scale they either are taken over by government (or whoever runs the education system) or the organization that developed the model grows to scale as well. If taken over by government, the projects are run by civil servants and often

lose momentum. If maintained outside the system, the energy spent running the organization often saps creative energy away from improving and adapting the intervention. More importantly, the talent and leadership that made the pilot successful is often counterproductive in large scale organizations where "founder's fever" all too often becomes "founder's disease."

Perhaps the problem is not with ESAT and its service grantees but with the measure. Should ESAT's long term success in service provision be determined by potential for reaching scale, something it was not originally designed to do? The evaluation team believes that there is a definite niche in South Africa for small and mid-sized service programs that serve a limited geographic area or modest number of beneficiaries. These can be more cost effective per unit of impact than large scale programs, because part of the real cost is assumed by participant, community and staff volunteers. The cost and managerial burden is, however, then shifted to the Mission, as it is more expensive to administer a large number of smaller grants.

Future Directions

The evaluation team recommends that ESAT consider consolidating its portfolio by prioritizing support for projects in adult literacy, pre-school education and educational policy, and phasing out support for projects in other focus areas in the final selection cycles. The team recognizes the importance of all the focus areas and affirms the excellent work performed by many NGOs in all focus areas.

There are two programmatic issues driving these suggestions. First, the ESAT Project should consolidate activities in areas in which NGOs are likely to continue playing a major role in direct service provision, i.e., adult basic education and pre-school education (governments tend to keep for themselves matters such as curriculum development and teacher education). Support for NGO participation in the educational policy debates also should be continued as it is a new niche for NGOs and one in which they have valuable experiences to be shared with policy shapers. If a successor project is considered, new focus areas should be formulated at that time to reflect SA's socio-educational condition, Mission strategy, and current education sector needs.

Concurrently, the team believes that ESAT should increase its efforts at technical assistance and systematic reflection. This entails providing grantees with expanding organizational and technical consulting as well as supporting activities such as evaluation efforts and a review of curricula developed over the past seven years.

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Evaluation Question Number 5: Based on document review of at least 30 grants and 20 site visits, what conclusions does the evaluation team draw about grantee contributions towards meeting USAID/SAs Strategic Objective 2 and Target Objectives 2.1 - 2.4.

Response to Evaluation Question 5

In order to determine what USAID bought with the $20,872,000 it invested in about 81 NGOs over the seven year life of the project, the method used to answer the question was to look at the four target objectives under Strategic Objective 2, contained in the USAID South/Africa Strategic Concept Paper and then define a meaningful measure for answering the question. This section will describe the investments made and determine what products, if any, materialized from those investments and then relate them to the four target areas under Strategic Objective 2 which states: *Help establish a more equitable and effective education system.*

Target 2.1: Develop, Evaluate and Disseminate New and Innovative Approaches to Education.

The project has been able to develop many new and innovative approaches to education in areas such as adult basic education, pre-school education, teacher upgrading, curriculum and materials development, etc. Some of these models are being evaluated under ESAT, others under SABER. In particular, some innovative models in the areas of pre-school and primary education will be systematically evaluated under project SABER.

However, until now ESAT grantees have not been required to build evaluation components into their organizations, although reviews by external evaluators and stakeholders have been required in cases where grantees and the Mission are considering taking a program or activity to scale.

Of the thirty programs in the evaluation sample, the ESAT files contained evaluation reports for only five activities. The quality of some of these evaluations was quite uneven, and in three cases the team was unable to tell whether or not the intervention assessed was having the desired impact. If the team had looked only at the samples in the files we would conclude that this target is not met or even addressed under ESAT. As this conclusion was clearly wrong and an artifact of the sampling, the team looked for proxies in order to get a feel for ESAT's accomplishments in the area of evaluation and dissemination.

As evaluation and dissemination are clearly a part of the SABER Project, for the purposes of this section the proxy used to determine whether the evaluation and dissemination elements of Target 2.1 is addressed is to find out how may ESAT projects have been transferred into SABER. We recognize that SABER supports only projects in the pre-primary and primary school areas and that ESAT supports projects in a much wider area.

Nevertheless, we believe the proxy will be useful in delineating the minimum number of models that will be subjected to rigorous evaluation prior to dissemination.

A review of both the ESAT and SABER portfolios indicates that since SABER's date of authorization in 1992, eight ESAT NGOs have transferred into SABER.

Exhibit 16
Investment Levels for ESAT grantees, under ESAT transferred into SABER

Focus Area	Grantee	Amount under ESAT (000)
1. Curriculum Development and Education Planning	READ	270
2. Professional Teachers' skills upgrading	ELET	150
	ITEC	200
	TOPS	11,000
3. Preparation for schooling	Border Early Learning Center	250
4. Preparation for schooling	ELRU	250
	GRASSROOTS	310
5. Outside Focus Area	OLSET	30
		Total $ 2,460,000

From the above findings it is noted that of the seven focus areas under ESAT, in which a total of $20,872,000 was invested in 81 NGOs, a minimum of 8 will have met Target 2.1

This means USAID was able to evaluate rigorously a minimum of 8 new and innovative approaches to education that will require further investments to enable them to disseminate the new approaches in a new system of education.

Target 2.2: Help Develop Alternate Educational Policies and Ensure That They Are Actively Considered by Decision Makers

USAID/South Africa has made a real effort in this area, which many USAID Missions in Africa do not tread. USAID/SA, through its heavy ESAT investments in NGO activities, earned itself the political credibility needed to play a role in the policy field. This does not mean that USAID will shape education policies for the new education system in South Africa, but it does mean that USAID/SA has positioned itself to play a role in helping the major actors be heard in the policy debate.

Although the policy debate in education is just beginning and many issues still need to be worked out, there are several core areas of concern emerging. Three of the core areas are: early childhood development; adult basic education; and curriculum and materials development in relation to training. These areas have been singled out by black South African educators because they know the new transitional government of national unity will not have the financial resources to address all aspects of a national system of education. Clearly, they not only fall within the seven focus areas of ESAT's project activities, but USAID has concentrated most of ESAT's resources on them.

An analysis indicates that a total investment of $20,872,000 has been made under ESAT. Of that amount, $16,920,000 or 81% has been concentrated in curriculum development, professional teachers' skill upgrading, applied adult literacy training, and preparation for schooling and primary education. These four areas match exactly with the policy concerns that are coming out of the debates. Two NGOs under the ESAT project have already been invited to participate in the policy debate, and this should be noted in order to fill out the investment/policy relationship.

The Education Foundation and the Independent Examination Board are actively participating by serving on committees within the National Education and Teaching Forum or providing advisory services to the ANC Education Desk or both. These two NGOs under ESAT have already positioned themselves strategically to influence new education policies in South Africa.

Under ESAT, $2,385,000 has been invested in five NGOs that are concerned with policy as a means of trying to influence the work of the remaining 76 grantees in the portfolio. This is not an expensive outlay, considering the stakes and the investment already made. It appears to be a good strategy on the part of USAID to enter the policy debate in order to influence the target expressed in 2.2.

In addition, USAID has also strategically positioned several NGOs to play a role in policy formation. Total investment outlays for these policy related activities come to $2,385,000, distributed as follows: Education Development Trust/National Education Policy Investigation [$350,000]; Edupol Urban Foundation [$400,000]; Education Foundation [$925,000]; Independent Examination Board [$500,000] and the National Education Coordinating Center [$210,000].

As indicated under the Curriculum Development and Educational Planning section of this evaluation, the Education Foundation provides the policy planners with hard data, models for analysis, networking resources and the like in order for the realities of the educational legacy of apartheid to be really understood. The Independent Examinations Board provides the testing and evaluation component for the educational planners so that they can better understand the realities of student performance at all levels of the education system. Through the efforts of the IEB, policy planners are learning that classroom performance of black children in government schools is worse than most people believe it to be.

Target 2.3: Enable Educational Institutions To Better Meet Demands Placed On A New, Non-Racial Education System

In the explanation presented in the 1993 USAID/South Africa Strategy Concept Paper[14] the description of these activities given on page 45 states, "Activity will be directed mainly at the tertiary level under the new Tertiary Education Linkages Project (TELP). "

Given that tertiary education is outside the scope of ESAT, this Target Objective will be met under other education program projects.

Target 2.4: Increase The Number of Qualified And Skilled Black South Africans Engaged in Education

The entire ESAT portfolio moves towards improving the skill levels of educational leaders in South Africa. In-service training strategies have been used to address this issue directly. From programs developed in the pre-school focus area for the training of EDUCARE workers to the retraining of as many of 4,000 tutors under Operation Upgrade in the applied adult literacy program and the vast PROMAT effort in professional teachers' skills upgrading (which involves the introduction of loan schemes to encourage teachers to upgrade their qualifications) the ESAT range of grantees all provide training.

In-service training for educational leaders in both the formal and non-formal education sectors have been carried out under ESAT and no doubt the techniques used in such training will be of critical importance to the new education planners who come on the scene in 1994.

The major conclusion drawn from the above analysis is that despite the fact ESAT was conceived as a political response to apartheid and driven by the CAAA legislation up until 1990, USAID was able during 1990 to 1993 period to successfully reorient ESAT to such a degree that the project is now able to meet at least 75 % of the Missions Strategic

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14 USAID/South Africa. USAID/SOUTH AFRICA Strategy Concept Paper. March 1993.

Objective 2. This is no small feat and the recommendations which follow are meant to strengthen what has been achieved.

Equity is an important issue in education in South Africa which must be addressed if a unified non-racial system of education is to be developed. But the equity issue is a very complex one in South Africa requiring a complete restructuring of resource allocations within the system. New thinking on the restructuring of resource allocation as a basis for promoting equity will require both a macro and micro analysis of the new education system. Reallocation of resources will by necessity mean not only financial restructuring, but restructuring the use of educational leaders; the use of learning space; ensuring rural areas better access to education; and ensuring greater access for females to education. These are just some of the issues to be dealt with under equity.

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Evaluation Question Number 6: What recommendations do the 20 grantees make about how effectively USAID has been in meeting their needs and how the quality of USAID support for ESAT activities can be improved?

Response to Evaluation Question Number 6

In order to find out what the ESAT Project looked like from the perspective of individual grantees, the evaluation team conducted half day interviews with 22 grantees (files of eight more were reviewed in depth bringing the total sample to 30), A breakdown of the sample by focus area appears below in the following chart.

Exhibit 17
Sample Portfolio By Focus Areas

Site Visited	I Models For Decentralized Education	Funding (000)	Status
	1. Educational Programs Center (EPC)	$400	Closed
yes	2. Ikemeleng Remedial Education Center(IREC)	200	New
yes	3. Qhakaza School Association	430	Closed
	Sub-Total	**$1,030**	
	II Curriculum Development and Educational Planning		
yes	4. Education Foundation	925	Active
	5. Independent Examinations Board (IEB)	500	Active
	6. Science Education Project (SEP)	476	Active
	Sub-Total	**$1,901**	
	III Professional Teachers' skills Upgrading		
	7. Cape Teachers' Professional Association	$300	closed
yes	8. English Language Education Trust	150	in SABER
	9. Independent Teacher Enrichment Center(ITEC)	150	in SABER
	10. In-Service Education and Training (INSET)	200	Active
yes	11. Maths Center for Primary Teachers (MCPT)	180	Active
yes	12. Project Matriculation (PROMAT)	2, 350	Active
yes	13. SPEAK	450	Active
yes	14. Teacher Opportunity Programs (TOPS)	1, 000	in SABER
	Sub-Total	**$4,780**	

Exhibit 17 (cont)
Sample Portfolio By Focus Areas

Site Visited	IV Applied Adult Literacy Training	Funding (000)	Status
yes	15. Forum for Adult and Continuing Education (FACE/NATAL)	25	New
	16. Forum for Advancement of Adult Education (FAAE)	213	Active
yes	17. Ons Leer Mekaar	215	Active
yes	18. Operation Upgrade	255	New
yes	19. Project Literacy (PROLIT)	1, 566	Active
yes	20. South African Committee for Higher Education (SACHED)	400	Active
	21.Umtapo Center	21	Closed
	Sub-Total	$2,695	

Site Visited	V Preparation for schooling and Primary	Funding (000)	Status
yes	22. Early Learning Resource Unit	$250	in SABER
yes	23. Entokozweni	125	Active
yes	24. GRASSROOTS	310	in SABER
yes	25. South African Association for Early Childhood Educare	440	Active
yes	26. Training Resources for Early Education (TREE)	450	Active
yes	27. UMZAMO	25	Active
	Sub-Total	$1,600	

Site Visited	VI Outside Focus Areas	Funding	Status
yes	28. Primary High School Tuition Project (PHSTP)	25	Active
	29. Open Learning Systems Educational Trust (OLSET)	30	in SABER
	30. Retsweletse Trust	120	Active
	Sub-Total	$175	

The team asked the grantees to discuss proposal development and grant agreement negotiation processes, grant management, consultation structure, future NGO policies, and technical assistance. The team asked grantees to identify special problems of needs they would like to see addressed by ESAT Project management. Response on technical assistance issues are addressed under Evaluation Question 7.

Proposal Writing and Agreement Negotiation Process

Responses about the proposal, amendment and agreement negotiation process can be clustered by grantee organizational size. More Stage One grantees reported that the proposal and agreement process was new and burdensome for them. Stage Three grantees reported that as they receive funding from many donors they are accustomed to the proposal preparation process. Some Stage Two grantees reported that they were confused by the process and reported that "The goal posts kept changing. One day they would ask us to do one thing and something quite different the next."

Stage Two organizations applying for second or third grants did not always understand why they were asked to propose something "sexy and new" when what they needed was on-going support for initiatives already underway. One grantee reported that efforts to obtain funding from USAID encouraged their organization to go off in too many new directions.

However, most Stage Two grantees were pleased with the agreement negotiation process. They thought it was fair and that USAID's requests were reasonable; although those for whom USAID was a major donor felt more vulnerable and less able to advocate for what they wanted. Stage Three organizations for whom USAID funding was a smaller portion of the budget understandably felt more comfortable and in a position to negotiate during the agreement negotiation process.

A few grantees reported that USAID would change its position between meetings. They reported that they would leave meetings believing that agreement had been reached only to discover that "AID changed its position." The team was unable to verify if indeed the Mission had changed its position or if the grantee's impression that agreement had been reached was false. As there may be inter-cultural factors confusing the issue, the team recommends that the Mission be extra cautious to make explicit when ideas are merely being discussed and when ideas have actually been agreed to.

Some grantees felt pushed by the Mission's affirmative action plans felt the Mission has unrealistic expectations regarding the pace of organizational change. Two grantees felt they needed more assistance from USAID to implement their affirmative actions plans on schedule.

Grantees were negative about some USAID bureaucratic procedures, especially the length of time required for decisions about funding, lack of a consistent contact person and requirements that were raised on an ad hoc basis such as being told after grant approval of the

requirement to register as a PVO (per IREC). Other grantees reported that they did not have to meet this requirement.

Grantees were unanimous in their praise of ESAT multi-year funding policies, affording them better planning scope. They also praised ESAT's provision for evaluation. Both areas of funding were different from other donors.

Grant Management

Grants are monitored by means of semi-annual and financial reports, site visits and project evaluations. Financial audits of grantees may be required by the audit general.

Management of ongoing grants reflects a more hands on approach consistent with the outreach characteristic of ESAT. Project officers undertake periodic site visits to maintain consistent contact and consult with the grantees.

Overall, grantees were very positive regarding their relationship with USAID and were grateful that the funds provided greatly helped them to move towards achieving their goals. For some USAID money gave them a "kick start" after they had been struggling for years to establish themselves.

Even though a strict financial accounting system is prescribed and preparing the semi-annual reports is cumbersome, grantees felt that the exercise helped to cultivate discipline and professionalism. Most were of the opinion that USAID was accessible and felt free to consult with the representatives at any time. They appreciated the support not only financially but technically and the individual advice and consultations which follow after the grant agreement has been signed.

There are, however, certain problems which stood out.

- USAID is a mystery to many Stage One and some Stage Two organizations. Other than knowing that USAID is their sponsor 95% of the grantees surveyed had no idea what USAID policies and functions are in South Africa.

- USAID personnel do not seem to keep written records detailing contents of meetings held with individual grantees. The result thereof is that whatever transpired between the grantee and the USAID representative(s) is not communicated to other colleagues in the USAID office. This sometimes makes it difficult for grantees to follow-up on whatever issue was discussed. .

- Grantees reported the strain of having to deal with "new" people, with a different management styles and expectations.

  - "Just when we established a good working relationship with _____, s/he left."

- USAID personnel seem to have a huge work overload which makes it difficult to pay particular attention to detail in monitoring the ESAT grantees. For example, it would be helpful to have two people read the semi-annual reports to help each other to identify problems which the other person overlooked.

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Evaluation Question Number 7: According to 20 grantees, how well has the technical assistance under ABEL met the needs of the grantees and what other kinds of technical assistance area needed?

Response to Evaluation Question Number 7

In general, grantees reported satisfaction with ABEL's services, but frustrations with the lengthy response time. Also, according to grantees, ABEL is strongest in its consulting services (especially in the area of evaluations and management) and weakest in providing training in highly specialized technical areas (e.g. levels testing for literacy materials).

ABEL is a centrally funded buy-in project into which the Mission bought in 1991. As a worldwide project with a local presence, the idea was to access both global and local knowledge and make it available to ESAT grantees as needed. ABEL/SA could either provide services to grante   directly or could facilitate a contracting process with other local or international serv,   oviders.

The standard contracting procedures surrounding any disbursement of USG funds was further complicated by delays in home office/field office communications and difficulties between ABEL Washington and ABEL/SA. The lengthy turn around time and administrative burden surrounding requests for approval of contracts with other local providers pushed ABEL/SA increasingly in the direction of providing services to ESAT themselves.

The breadth of grantee and mission demands for training, research, and consulting services from ABEL, in technical as well as organizational areas, has placed enormous strain on ABEL staff schedules and capabilities.

IREC exemplified the experience and views of many grantees relative to ABEL. IREC's staff made extensive use of staff and organization development opportunities provided through ABEL. The IREC Chief Executive Officer, Sanku Molaoli, was identified by ABEL to participate in "Management for the Eighties," offered by a training institution in Washington, DC. The visit was instrumental in making contact with the National Council for Learning Disabilities, which helped shape his vision of the need for a similar national organization in South Africa; it became part of IREC's proposal to USAID which was funded. He also attended a strategic planning workshop facilitated through the Human

Awareness Program for ABEL and one on "Managing People in NGOs." He felt that all of these workshops were "excellent", echoing the sentiments of many other ESAT grantees.

Some grantees, however, were critical of ABEL training programs. Entokozweni and Umzamo staff found courses offered by ABEL "too theoretical" and not pitched to their needs. Staff of PROLIT and IEB attending a course on curriculum development found it not as in depth as they would have wanted.

The perception was that in terms of course levels and services offered, ABEL had been relatively generic in its first year of operation 1992-93. Grantees had availed themselves of ABEL's services but in doing so, developed an appetite for more services, on a more selective basis. An example is ABEL's courses on evaluation. Grantees were unanimous in praising the courses. However, they were then ready to implement evaluations and wanted individual consultations from ABEL staff, which were not available to them.

An unexpected organizational development benefit came as a result of the participation in ABEL courses by many ESAT grantees. Because ABEL courses were the main way for ESAT grantees to come together with each other and other grantees, they were able to network, see what others in the field were doing, and take a broader view.

The evaluation team observed several needs among the grantees interviewed that ABEL may be able to address: a need for strategic planning; no viable plans for going beyond donor dependency; charismatic leadership patterns for which there were no succession plans ("founder's disease"); difficulties with affirmative action; and a lack of professionalism in terms of being in touch with the global knowledge base in the field of concentration , such as educare or adult education.

ABEL provides a needed function: meeting local technical assistance demands of grantees and the Mission by using a combination of local and global resources. ABEL staff is over stretched and should either expand or cut down on direct provision of services. Some USAID standard contracting procedures constrain ABEL's ability to respond in a timely manner to grantee requests for special kinds of assistance.

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Evaluation Question Number 8: According to 20 grantees, how has ESAT and ABEL/SA assisted them in: building technical capacity, developing organizational capabilities and providing services?

Response to Evaluation Question Number 8

This question has three parts: (1) Impact on Grantee Technical Capabilities, (2) Grantee Organizational Development , and (3) Impact on Grantee Service Provision. Findings are divided into these three areas.

Impact on Grantee Technical Capabilities

ESAT/ABEL has had some impact on grantee technical capabilities. However, grantees report that their needs in this area far outstrip the project's ability to assist. Recognizing how difficult it would be to expect a project to improve the technical capacity of 81 organizations operating in all seven focus areas, grantees nevertheless look to ESAT/ABEL for guidance in improving their technical capabilities.

Lack of professionalism, a criticism often levelled at NGOs, was found to be a problem with the majority of the ESAT grantees. For example, in the educare field, even though the three largest grantees were leaders in the field, an extremely small number of the senior staff had university qualifications in early childhood development.

"Staff development is a core issue for us," said Peter Badcock-Walters of the Education Foundation. "We try to recruit staff with skills and add to them. We're so busy we must train on the job.

Staff development is either a precursor to attaining project objectives, or the objective itself of many ESAT projects. All the teacher training projects address professional development in education. The two largest AE projects—PROLIT and Operation Upgrade—focus on training of trainers. Examples of staff development among the ESAT grantees surveyed are as follows:

- Ons Leer Mekaar - training in sub-editing; business skills for Financial Administrator

- ELRU - formal degree part-time degree work in sociology and English and Adult Education

- IREC - in-service training for their remedial education teachers

- TOPS - USAID assistance primarily pays for academic personnel who do courses in teaching methodology and education management for teachers

Nearly everyone of the grantees had sent staff to at least one or two courses offered by ABEL.

Affirmative action is a professional development and organizational development issue. Some black professionals might not receive the opportunity for advancement, because of the patterns of privilege so deeply imbedded in South African society, were it not for pressures for black advancement, even if there is no formal affirmative action plan in an organization.

Although black empowerment and developing black professional expertise was basic to the entire USAID program because of the spirit of CAAA, a new impetus appears to have been provided when Cap Dean came to head USAID/SA in 1992. He advocated diligence in working more with black led groups and to encourage affirmative action in white led groups.

In advocating these values with grantees, ESAT staff received mixed reactions. Operation Upgrade introduced an affirmative action plan because of USAID. PROLIT developed an elaborate affirmative action plan but advised the survey team that they felt they had been misled to understand that USAID would underwrite the considerable costs of implementing the plan, whereas in the end, USAID provided only a fraction of the costs.

IEB and EF both have made efforts to hire black staff but stated that they encountered difficulties in finding senior level blacks with suitable training and experience. IEB could find no suitable black for a curriculum development specialist with experience in the examinations field after an international search. Because they had stipulated as part of their grant agreement that they would seek black staff for the positions funded by USAID, they then asked approval to convert the position to a communications and outreach function, which was approved.

ELRU was a fairly typical grantee. "For a long time the leadership was white people," said Ros Herbert of this organization which serves an all black clientele. Their response, developed over time, was to put people into working groups to help develop certain skills so more people could move into management. "Progress is slow," she said, "but it is beginning to pick up." They recently broadened the directorate by two blacks, one from the inside and one for the outside. "Our problem is salaries are so low that not many blacks with good qualifications are interested. It's hard for NGOs to compete with the private sector and government sectors for qualified trained blacks."

The heads of two organizations, FAAE and Grassroots, were both offended that USAID implied that their organizations should be black-led. Ons Leer Mekaar rejected a suggestion by USAID staff that they should consider a staff development component as part of their project proposal, in order to recruit and train black staff.

Grantee Organizational Development

When the CAAA restricted USAID funding in South Africa to NGOs, it was a route destined for difficulties. A major criticism of the NGO sector is that: *Too many people, with*

too few skills, are all trying to do the same thing. Most institutions lack credibility. To all intents and purposes, management skills are non-existent outside the few major initiatives. There are thousands of good causes swamping corporate donors with requests for funding, more often than not confusing the issue.[15]

The author of the above, Richard A. Fehnel, a Program Officer for the Ford Foundation in South Africa, was at the time working with a USAID funded project providing assistance to South African NGOs. In the article he proceeded to substantiate the allegations above based on research.

The 1989 evaluation of ESAT recommended that USAID make available South African and American expertise to South African education NGOs to expedite acquisition of what were essentially higher level organizational development skills. USAID chose to use a US contractor, ABEL, which would subcontract with South African and American individuals and organizations.

In advance of the commencement of ABEL services in 1992, many ESAT grantees reported a positive impact on organizational capability as a result of responding to USAID requirements. This positive benefit continued after ABEL began. Financial reporting, research and planning were the capabilities which had the most growth. This was because organizations had to undergo a rigorous financial review prior to receipt of USAID funds and adhere to a quarterly financial reporting system. In terms of research and planning, they had to have convincing needs assessments to support the proposals and to submit semi-annual progress reports. grantees reported that USAID's requirements, especially financial ones, were more rigorous than those of other donors.

Qhakaza, one of the early grant recipients, reported initial conflict with USAID because of Qhakaza's insistence on a governance body made up of parents. Qhakaza reported to the survey team that they were all the more determined to perform well because USAID appeared dubious about their ability to handle funds and made impromptu visits to "check financial aspects". Qhakaza officials were not ruffled, however, because they said, "Americans are very straight." They saw other grantees closed down because they could not handle the financial accountability requirements. Qhakaza satisfied all of USAID's financial and program reporting requirements.

Grassroots felt that ESAT forced them to strengthen financial management, management information systems, negotiating skills, and comparing accomplishments to projections. "It was experiential learning," said Grassroots staff. "We gained from having to prepare and review a workplan—we learned to be more realistic."

ELRU felt that they developed new organizational skills through the process of recruiting people for the new staff positions supported by USAID. They came to realize that

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[15]**The Role of the Non-Government Organizations in Education and Training in South Africa**, *Business Management Issues*, Johannesburg, 1991, p. 127

they would have to design a staff development and affirmative action program from their internal resources.

Impact on Grantee Service Provision

The impacts of ESAT are addressed by the key areas of substantive focus. Based on the grantees visited, the impact on service provision through ESAT has been substantial. Hundreds of thousands of South Africans have received direct or indirect benefits as a result of educare providers trained, teachers whose skills have been upgraded, materials which have been developed to help students pass, adults receiving literacy lessons from Adult Educators trained through literacy programs and so on. But as the section above states, quality is more important than quantity: are there models that are replicable or likely to have an ongoing impact on the education sector?

The answer is yes. For example, Qhakaza is a model to emulate of community controlled, high quality education. TOPS and PROMAT are teacher training models with proven success and cost benefit documentation that could possibly be taken over by a new government. ELRU, Grassroots and Tree are strong candidates for supplying the educare infrastructure model for the country. IEB and EF are firmly positioned to influence long term policy in South Africa.

Other projects like MCPT and SPEAK might have good results but are too complex or would be too expensive to take to scale. For many other projects, such as PHTP, SACHED and OLM, the jury is still out.

* * * * * *

Evaluation Question Number 9: What is the opinion of the evaluation team based on document review, site visits and professional judgment regarding strengthening, consolidating or deleting focus areas?

Response to Evaluation Question Number 9

ESAT should consider the following focus areas during its period of consolidation and reflection: adult basic education; pre-primary and preparation for schooling; and policy formulation and implementation.

Adult basic education and pre-primary for two principal reasons: (1) they are outside the formal, basic education system as currently configured and (2) ESAT has already invested heavily in these areas and should take some time to evaluate, reflect, and consolidate what has been learned about effective models and delivery systems for them.

As a practical matter, under a universal basic education system, a new government is likely to want to keep for itself most service areas related to the formal school system: e.g.,

teacher education and training, curriculum development, materials development. In addition, the need for the non-government sector to provide "alternative schools," and equal access to secondary education should become less acute as government assumes responsibility for access to education for all.

Supporting NGOs to participate in policy formulation and implementation should be a focus area during the final phase of ESAT because USAID can connect NGOs to a global knowledge base and better prepare them to negotiate with government and quasi-governmental organizations. Additionally, policy formulation and implementation is a fundamental area of intervention not previously open to majority South Africans.

At a meeting in which the 22 grantees interviewed were invited, they were asked what additions, deletions or adjustments should be made to the ESAT focus areas as listed in the scope-of-work for the evaluation. Their recommendations are compiled below.

- Supporting models for decentralized education
    - retain but focus on rural areas
    - needed on all levels, including literacy, ABE

- Curriculum development and educational planning for a post-apartheid society
    - include early childhood education and adult basic education

- Qualitative improvement of black education via professional teachers' skills upgrading
    - exchange programs with schools internally (within South Africa) to develop vision (teacher commitment-raising morale)
    - recognition of successful classroom practice to encourage the "under qualified" teacher to concentrate on the needs of the pupils

- Expanded access to secondary education
    - USAID should increase its funding for programs in this area.

- Post-secondary school remediation
    - no comment

- Applied adult literacy training
    - expand based on a needs analysis
    - networking needed to coordinate issues and work being done
    - needs redefinition: 15 million adult illiterates exert a major drain on South Africa's resources, with a debilitating effect on the growth of a civil society, etc. There is fundamental shift in perception required, where an adult "literacy' program should be seen as a huge and far-reaching program to

compensate for those whose education access was a victim of the apartheid system. The program should range from basic mother tongue literacy to facility in a language of the economy plus the other academic skills required for full participation in the society.

- add training for adults in general

- add bridging courses into formal education

- forge links between non–formal adult literacy training and those programs working in formal education phases

• Preparation for schooling and primary education

- should be continued

The circumstances under which the focus areas were defined in 1986 and 1989 no longer pertain. The ending of apartheid and preparation for a unitary education system reduce interest in parallel and supplementary NGO services and focus attention on NGOs working on policy formulation and models to improve the quality of public education.

* * * * * *

Evaluation Question Number 10: What other kinds of educational activities do grantees envision USAID should consider supporting in the future?

Response to Evaluation Question Number 10

Many grantees surveyed referred to the experiences of other Southern African countries during transitions, especially Zimbabwe and Namibia. One NGO pointed to the way that databases collapse, something NGOs could help avoid.

As could be expected, nearly all of the interviewees argued for NGOs to be sustained in a post-apartheid government. The reasons they offered include:

• The pressures on the state will be onerous and they will need to contract out services because they can't do everything and need to draw on the expertise of NGOs

• It will be too expensive for the state to take over all the tasks currently performed by NGOs, such as INSET

• For a healthy democracy, the state needs a watchdog, i.e., the NGO sector

• The NGO sector should be the conduit for support of civil society initiatives in S.A.

Some interviewees conceded that NGOs suffer from fragmentation and duplication. The pointed out that because of USAID's experience with NGOs, it should join in with other donors to address the problems the sector faces. Many felt that new thinking was needed on the part of the NGO sector, which USAID could help stimulate. New coalitions were required, including serious relationships with US organizations. "The richness of South Africa-American connections is under exploited," maintained the EF representative.

It was also felt that USAID should play an interventionist role with the new government, that funds to the new government should be conditional on continuing support of the NGO sector.

Suggestions For New Areas

Responses to the question, "What other areas should USAID consider supporting in the future," elicited the following:

- Special Education/Remedial Education

- Resources to Education NGOs

- Consultation: Form an over-arching SA/US "guidance group" to sensitize and inform USAID development policy

- Outreach: Increase inter-relationships with the rest of Southern Africa

- Develop an empowerment evaluation model and create tools for including an empowerment dimension for evaluation educational interventions

Section IV
CONCLUDING COMMENTS

SECTION IV

CONCLUDING COMMENTS

The ESAT project is an example of an effective partnership between USAID and education sector NGOs. Compelled by conditions that precluded partnering with government, over the past seven years Project and Mission staff have developed systems for building and maintaining working relationships with over 80 indigenous organizations. This was a non-trivial task given the climate of suspicion and cumbersome Agency regulations that set the project's tone and administrative parameters at the outset.

The rich diversity of the ESAT portfolio attests to the dedication and energy of South Africa's robust NGO sector. For decades the NGOs have provided community level services, challenged the policies of apartheid, given assistance to its victims, and granted opportunities to individuals who for reasons of race or conviction were unable or unwilling to participate in government or business ventures.

Another critical variable has been the project management team's talent in building a portfolio by picking good projects and providing them with appropriate technical, organizational, and financial resources. The evolving grantee selection and grant management systems permit a dynamic equilibrium to be established between the need for the Project to respond flexibly to new opportunities in South Africa's rapidly changing educational context and the need for the Project to focus investment in order to maximize the impact of resources expended.

As the pace of change in South Africa's socio-educational climate picks up, it is certain that the role of the NGOs and of USAID will change. The evaluation team hopes there will be a place in the new configuration for partnerships with NGOs that will allow the valuable lessons learned over the past seven years to enrich future efforts at improving the quality of education for South Africa's historically disadvantaged majority.

Appendix A
Scope of Work

Educational Support and Training Project
EVALUATION

SCOPE OF WORK

I.   Activity to be Evaluated

USAID/South Africa requests an interim evaluation of the
Educational Support and Training (ESAT) project.

Project Number: 674-0302
Total Cost (LOP): $30,000,000
LOP Dates: 09/1986 to 09/1996

II.   Objectives

A. Assess the project through examining the inputs and outputs,
and measuring progress towards reaching end of project status
(EOPS);

B. Review the strategy utilized in managing the ESAT project as
laid out in the 1989 Programmatic Evaluation and subsequent
strategy documents; and

C. Measure, preliminarily, the impact of ESAT by subsector.

III. Background

The ESAT Project is designed to support and expand selected
education activities and models for a post-apartheid South
African education system. The project was authorized in 1986
with a LOP total of $6,000,000 and a PACD of September 30, 1991.
The rationale of the project focussed on advancing the black
community's goals of educational equity and elimination of all
forms of apartheid in the content and structure of the
educational system in South Africa. It was amended in 1988 to a
PACD to September 24, 1994 and, again, in 1989, increasing the
funding level to $19,500,000 and extending the PACD to September
24, 1996. At this time the project purpose was slightly modified
to reflect the Education Sector Strategy approved by AID/W and
the Embassy. The revised purpose statement is: "To support
indigenous, non-governmental initiatives which test improved
models for basic education for disadvantaged South African and
confront the waste of human resources caused by the apartheid
education system." (ref. Project Paper Supplement [PPS], 1989)
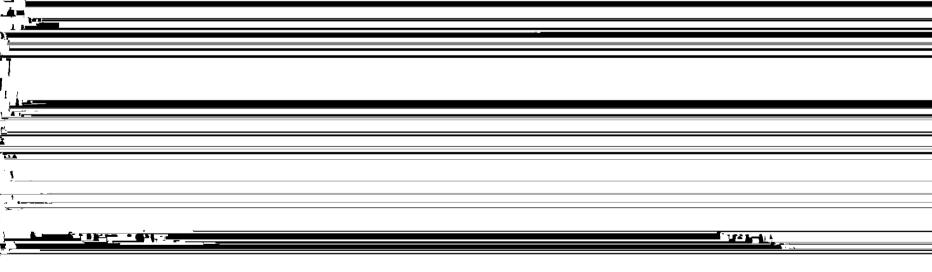In late 1992, the total level authorized was raised to $30
million.

ESAT, which was conceived as an "umbrella" project, permits funding of a broad range of activities identified in consultation with educationists and community leaders in South Africa. Among these activities are community-based schools, preschool programs, materials development/research programs, adult literacy programs, teacher training, upgrading programs in English, mathematics and science, educational policy analysis and secondary school bursary programs.

Implementation of ESAT involves NGO submission of unsolicited proposals to USAID, negotiation with selected NGOs to insure key criteria are met, and funding, monitoring and evaluation of the grants. Selection of new grantees and amending agreements occurs on a fiscal year basis. Eligibility for ESAT project funds must satisfy organizational and programmatic requirements as stated in the PPS (1989). Each year the criteria are slightly modified to reflect the changing South African environment, as documented in the annual Action Plans[1].

At the present time there are approximately 45 active grantees, out of 92 which have been funded since 1986, whose programs focus on formal or non-formal education. Those programs with a formal education focus receive support for testing models which "act as forceful proponents of change in the country's historically inequitable primary and secondary school systems (basic education)." Intended beneficiaries are the current and future students in those systems. Programs with a non-formal focus target:

> "1) black South Africans who have completed primary/ secondary schooling, but who find that the poor quality of their education has not equipped them to pass the

> 2) marginally literate persons to whom the education system has given virtually nothing; and

> 3) preschool children who may, with some preparation, be able to overcome the system's inadequacies." (ref. PPS, p.9)

With both formal and non-formal education programs, "the emphasis is on developing viable, replicable prototype programs," (ref. PPS, p. 9) which have transferability potential for a new education system. At this point in time, it is appropriate to begin assessing the effectiveness and the impact of these models

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[1]Action Plans are internal documents which provide the

funded under the project in preparation for a new, democratically-elected government.

IV. Description

The evaluation is the second of two programmatic mid-term evaluations called for in the revised evaluation plan contained in the Project Paper Supplement dated 1989.

A. Purpose of the evaluation.

The purpose of the evaluation is to assess the effectiveness and, insofar as possible, the impact of the ESAT project, including:

1. Assess the project through examining the inputs and outputs, and measuring progress towards reaching end of project status (EOPS);

2. Review the strategy utilized in managing the ESAT project as laid out in the 1989 Programmatic Evaluation and subsequent strategy documents. In particular, the evaluation will assess the extent to which recommendations of the 1989 mid-term evaluation have or have not been implemented.

3. Assess the preliminary impacts of ESAT by its key areas of substantive focus:

- supporting models for decentralized education;
- curriculum development and educational planning for a post-apartheid society;
- qualitative improvement of black education via professional teachers' skills upgrading;
- expanded access to secondary education;
- post-secondary school remediation;
- applied adult literacy training; and
- preparation for schooling and primary education.

Because the recipients of ESAT funds generally receive funds from other donors, it is to be expected that attribution of impact will be possible onj, insofer as grantees have categorized their expenditures by donor, and/or believe ESAT funding is closely linked to the achievement of specific program objectives/impact.

The results of the evaluation will be used by USAID/SA to make adjustments in the portfolio of NGOs during 1994 and 1995, the final years during which grantees may be added to the portfolio.

B.   Evaluation questions

1.   What has been, in general quantitative and qualitative terms, the impact of the ESAT project on each of the seven key areas of substantive focus cited above?

2.   To what extent do NGO stakeholders **believe** that ESAT funds have contributed to the effectiveness of program impact?

3.   What has been the impact of the ESAT portfolio on primary beneficiaries?

4.   Are there substantive focus areas that should be strengthened, consolidated or deleted to more accurately reflect perceived needs of the educational system by South African ducationists? If yes, justify this response and suggest strategies for implementation in the recommendations.

5.   What evidence is there to suggest that some of the recipient NGOs are models which can act as forceful proponents of change?

6.   What has been USAID/SA's response to the 1989 evaluation report's proposals for the adjustment of the sectoral strategy found in Section Six of the report? (See Appendix B.)

7.   Given the requirements of accountability and A.I.D. regulations, how effective has USAID been at meeting the needs of NGOs?

8.   Has the ESAT technical assistance team under the Advancing Basic Education and Literacy (ABEL) project met th_ needs of the grantees as determined by ABEL conducted needs assessments or specific requests 'of the grantees?

9.   How might the grantees be empowered to better maximize their potential?

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10. Has the link between the ESAT project and the South African Basic Education Reconstruction[2] (SABER) project been appropriate?

C.   Source Materials/Interviews

To effectively respond to the evaluation questions, the evaluation team will review project-related literature including the Project Paper and Project Paper Supplement, the 1989 Programmatic Evaluation, the annual Socio-Educational Survey, annual Action Plans, NGO proposals, grant agreements and evaluations.

On-site interviews will be conducted with relevant individuals within USAID, Project ABEL/SA, and approximately 20[3] ESAT grantees stratified by sector, size of ESAT grant, and geographical location. Where appropriate, observations of programs activities will be scheduled in conjunction with on-site interviews.

D.   Reporting

Throughout the evaluation, the team will report to the HRDO for general and technical direction and to the ESAT PDO for immediate management issues and day-to-day implementation issues.

Two final reports are required by USAID. The first is for internal A.I.D. consumption and the second, briefer report, will provide feedback to the USAID grantees and the wider South African community.

1. A.I.D. Final Report

The final report for USAID consumption will include the following sections:

(i) **Executive summary:** The executive summary should be no longer than five single-spaced pages, and should state the development objectives of the activity evaluated, purpose of the evaluation, brief overview of the evaluation methodology, findings, conclusions, and

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[2]SABER was developed in 1992 as an additional basic education project. It provides larger amounts of funds to education NGOs who have demonstrated impact in the pre-primary and primary education fields. It also focuses on educational policy development for the transition to a post-apartheid system.

[3] This includes both completed and active grants. USAID will assist the evaluators in identifying appropriate grantees.

recommendations, and lessons learned about the design and implementation of this development activity.

(ii) **Project evaluation summary form:** Attached as an Appendix.

(iii) **Table of contents.**

(iv) **Main body of the report:** The main body of the report should not exceed 60 pages. It should include discussion of the objectives of the evaluation, answer the evaluation questions; a brief description of the country context in which the project was developed and is being implemented; findings concerning the evaluation questions; conclusions drawn from the findings; and recommendations based on findings and conclusions. Specific lessons learned from implementation of the project thus far should also be discussed.

(v) **Appendices:** Appendices will include, at a minimum: a copy of the evaluation scope of work; a list of documents consulted; team composition and study methods; detailed evaluation methodology; and individuals and agencies contacted. Additional appendices may be included if appropriate.

2. South African Report

The evaluation report for South African Grantee consumption will provide:

(i) information/data to answer the evaluation questions;

(ii) conclusions (interpretations and judgments) based on the findings;

(iii) recommendations based on an assessment of the results of the evaluation exercise;

(iv) a section on lessons learned which emerge from the analysis and which can be potentially utilized for policy purposes; and

(v) appendices which include relevant information on evaluation methodology, team composition, individuals and agencies contacted, and a list of documents consulted. Additional appendices may be included if appropriate.

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V.   Qualifications of Team

The evaluation team will be composed of four persons, made up of two expatriates and two South African residents.

A.   Evaluation Expert/Team Leader: It is required that the evaluation expert have demonstrated experience in conducting evaluations in education. A masters degree with emphasis in education or evaluation is essential. Southern African experience and background in primary education and/or experience in one or more or ESAT's areas of focus (Section IV above) is particularly desirable. Previous experience with A.I.D.-sponsored evaluations and projects is essential. Since the Team Leader will be responsible for logistical arrangements, strong administrative skills would be an advantage.

B.   South African Education Experts: The two South African residents should be knowledgeable about education in apartheid South Africa, as well as the recent developments in the educational system. They should each have specific expertise in one or more of the subsectors targeted in the ESAT portfolio. Familiarity with Education NGOs is essential. Previous experience with evaluations would be useful.

C.   Basic Education Expert: This person should have experience in Southern African education and complement the expertise offered by the South African residents. S/he should offer an international comparative perspective to the evaluation. Previous work with A.I.D. would be desirable, but not essential. Experience related to NGO's would be useful.

VI.   Level of Effort

The evaluation will span a total of six weeks in country. The evaluation team will be authorized to work a six-day week at no premium pay. The Team leader will be employed full-time for the six weeks. The three team members will be employed for weeks two through five. The two expatriates are each provided an additional two work days for travel between the U.S. and South Africa. A further four weeks is provided to the IQC contractor to professionally edit, bind and deliver the two reports.

Summary of Level of Effort

Team Leader	38 days
South African Expert 1	24 days
South African Expert 2	24 days
International Ed. Expert	26 days

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VII. Logistics

The evaluation team will be expected to work out of their hotel rooms. The team will divide into two, to each conduct 10 site visits. This will involve some internal travel, at minimum, one trip to Cape Town and the other to Durban. ABEL will make their Johannesburg conference room available for the debriefing of grantees.

The contractors are advised to bring their own portable computers. Linkages to Mission printers can be arranged for printing during agreed upon hours. Funds are provided for six weeks of a temporary secretary to assist the team with appointments, secretarial work and with basic logistical support such as hotel reservations and transportation. This individual will also assist the team leader in arranging the briefing for grantees.

The team is required to organize a briefing at the beginning of week five to report back on the evaluation to ESAT grantees and to receive final feedback.

VIII. Timing

The evaluation should begin on or about September 27, 1993 and be completed on or about December 6, 1993. The team leader will be in-country from September 27 until November 6.

An illustrative schedule for the seven week evaluation exercise follows:

Week One: Team Leader arrives: Orientation with ESAT Project Development Officer (PDO), Human Resource Development Officer (HRDO), USAID staff, and ESAT technical assistance staff; review of project documentation; selection of interview and observation samples and/or individuals. Draft interview questions. Schedule appointments for interviews and observations.

Week Two: Other team members begin work. Detailed discussions with relevant Mission personnel, e.g., Human Resource Development Officer, Project Development Officer; refinement of interview questions; begin site visits.

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Week Three: Conduct interviews and on-site
observations. Begin sorting information/data.
Commence report writing.

Week Four: Follow-up discussions and interviews as
needed. Complete first draft of both reports; discuss
with HRDO and PDO.

Week Five: Hold report back meeting with ESAT
grantees. Follow-up last minute needs for information;
revise the two draft reports in response to discussion
with USAID[4] and feedback from grantees. Team members
assignment complete.

Week Six: Only Team Leader remains: Present final
draft reports in meeting with relevant Mission staff;
await suggestions; revise reports as needed; close
out meeting with HRDO and PDO. Team Leader departs at
end of Week Six.

Weeks Seven through Nine: IQC firm professionally
edits the two final reports geared to the two
audiences: the USAID Mission and for general South
African consumption.

Week Ten: Binding reports and delivery to USAID/SA.
Deliver 15 bound copies of report for Mission and 50
copies of report for Grantees. The contractor will
also provide the reports on diskette in word perfect
5.1.

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[4] A draft of the final report will be given to the ESAT
Project Officer no later than noon on Monday of the sixth week.
The Mission will respond with comments by 3:00 PM on Wednesday of
the same week. A final draft will be completed and left with the
ESAT PO.

Educational Support and Training Project
Evaluation
Scope of Work

Revisions

Agreed to on: September 30, 1993

By: Sarah Labaree, Project Specialist
                David Evans, Sup HRD Off
                Fredi M. Munger, ESAT Evaluation Team Leader

p.1 II.   **Objectives**

     C.   Evaluate the contributions of ESAT by sub-sector.

p. 3 IV. **Description**

     A. Purpose of the evaluation.

          3.   Evaluate the contributions of ESAT by its key areas of
               substantive focus;

p.4   B.   Evaluation Questions
           (The following questions replace the evaluation questions listed or
           pages 4 and 5 of the ESAT Evaluation Scope of Work)

     A. Grantee Selection Process

     1.   In what ways has the grantee selection process changed since 1986
          and what influenced those changes?

     2.   To what extent has USAID/SA adopted the recommendations regarding
          adjustments of the sectoral strategy found in Section Six of the
          1989 evaluation report?

     3.   In what ways is ESAT grantee selection affected by: other projects
          in the education sector (e.g., SABER) and USAID/SA education sector
          policies and strategies?

     B. ESAT Program

     4.   Based on a document review of at least 30 grants and illustrated by
          examples from 20 site visits, what has been the reported progress
          to date towards meeting agreement and project purposes as set forth
          in the Outputs section (p.7) and the Expected Impact section (p.
          17) of the 1985 PP Supplement?

5. Based on document review of at least 30 grants and 20 site visits, what conclusions does the Evaluation Team draw about grantee contributions towards meeting USAID/SA's Strategic Objective 2 (Help establish a more equitable and effective education system) and Target Objectives 2.1 (Develop, evaluate and disseminate new and innovative approaches to education); 2.2 (Help develop alternate educational policies and ensure that they are actively considered by decision makers); 2.3 (Enable educational institutions to better meet demands place on a new, non-racial education system); and, 2.4 (Increase the number of qualified and skilled black South Africans engaged in education)?

C. Implementation

6. What comments do grantees surveyed make about how effective USAID has been in meeting their needs, and what suggestions do they make about how the quality of USAID support for ESAT activities can be improved?

7. According grantees surveyed, how well has the technical assistance under ABEL met the needs of the grantees and what other kinds of technical assistance are needed?

D. ESAT Program Impact

8. According to grantees surveyed, how has ESAT and ABEL assisted them in: building technical capacity, developing organizational capabilities, and providing services?

E. Future Directions

9. What is the opinion of the Evaluation Team based on document review, site visits and professional judgement regarding strengthening, consolidating or deleting focus areas?

10. What other kinds of educational activities do grantees envision USAID should consider supporting in the future?

Appendix B
List of Documents Consulted

APPENDIX B: LIST OF DOCUMENTS CONSULTED

1)   USAID/SA Strategy concept paper
     March, 1993

2)   SA ESAT Project Paper
     Sept, 1986

3)   SA ESAT PP Supplement
     Sept, 1989

4)   Outline of Lessons Learned Basic Education Portfolio
     n/d

5)   An Overview USAID/SA Basic Education Portfolio
     1986 - 9/1993

6)   Programmatic Evaluation of the ESAT Project
     October 1989

7)   ESAT Project Authorization Amendment
     Nov 13, 1992

8)   SA Primary Education Sector Assessment
     April, 1992

9)   Educational Remedial Strategy; Mngt Solutions for Education
     in SA
     1992   DNE

10) Selection Criteria for Proposal Review HRDD USAID/SA
     Jan, 1993

11) Project ESAT Activity Data Sheet
     November 1992

12) USAID/SA Mi-Fy 1993 Project Implementation Report

13) Ikemeleng Remedial Center :-Grants Agreements
                                 -Reports

14) SPEAK :-Grants Agreements
           -Reports

15) Independent Examination Board :-Grants Agreements
                                    -Reports

16) Qhakaza :-Grants Agreements
              -Reports

17) Maths Center :-Grants Agreements
                   -Reports

18)   Entokozweni :-Grants Agreements
                 -Reports

19)   Education Foundation & Edusource:-Grants Agreements
                                      -Reports

20)   South African Council for Higher Education (SACHED TRUST):
      -Grants Agreements
      -Reports
      -Media Programmes:-Learning Nation
                        -Thuthuka
                        -New Reader

21)   Project Literacy:-Grants Agreements
                       -Reports

22)   South   African   Association   for   Early   Childhood   Educare
      (SAACE):-Grants Agreements
             -Reports

23)   Forum for Advancement of Adult Education (FAAE)
      :-Grants Agreements
       -Reports

24)   Project Matriculation (PROMAT) :-Grants Agreements
                                      -Agreements

25)   Umzamo Development:-Grants Agreements
                        -Reports

26)   Forum for Adult and Continuing Education (FACE-NATAL)
      :-Purchase Order
       -Correspondence

27)   Teacher Opportunity Programs (TOPS):-Grants Agreements

28)   Operation Upgrade:-Purchase Order

29)   Training and Resources in Early Education (TREE)
      :-Grants Agreements
       -Reports

30)   Grassroots:-Grants Agreements
                 -Reports

31)   Ons Leer Meckar:-Grants Agreements

32)   Early Learning Resource Unit:-Grants Agreements
                                   -Reports

33)   Primary High School Tuition Project (PHSTP)
      :-Grants Agreements

-Reports

34) NEPI Reports:-Adult Basic Education
    (1992)   -Adult Education
                -Curriculum
                -Early Childhood Educare
                -Education
                -Human Resources Development
                -Governance & Administration
                -Language
                -Library & Information services
                -Post-Secondary Education
                -Support Services
                -Teacher Education

35) Saber Paper Project
    1992

36) The IEB's Examinations for ADULT BASIC EDUCATION: AN
    EXECUTIVE FRAMEWORK
    June 1993

37) The 1992-1993 Socio-Educational Survey: Politics and
    Education in the Era of Negotiations
    Jan 1993

38) ABEL Implementation Plan 1992

39) ABEL Quarterly Reports:-March 1992
                           -June 1992
                           -March 1993

40) ABEL Annual Reports:-1991
                        -1992
                        -ABEL Review Conference

41) ABEL South Africa:-Final Report 1991

42) M-T Feuerstein, Partners in Evaluation
    UK, 1986

43) W James Popham, Educational Evaluation
    USA, 1975

44) Paper series:-Mansour Fakih, NGO in Indonesia
                 -Jonathan Otto, NGOs in the Sahel
                 -Eloy Anello, NGOs in Latin America

45) ESAT General Action Plan (Part I &II)

46) The Role of Business in Education and Training in SA
    BMI-Issues Management
    Business Management Institute 1991

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47) Science Education Project (SEP):-Grants
                                     -Reports

48) Cape Teachers' Professional Association:-Grants
                                            -Reports

49) Independent Teacher Enrichment Centre(ITEC):-Grants

                                                -Reports

50) In-Service Education and Training (INSET):-Grants Agreements
                                              -Reports
51) Umtapo Center:-Grants Agreements
                  -Reports/Evaluations

Appendix C
Team Composition and Study Methods

APPENDIX C

TEAM COMPOSITION AND STUDY METHODS

Team Composition:

Evaluation Expert/Team Leader, Dr. Fredi Munger

South African Education Experts, Dr. Isabel Gabashane and Ms. Gayla Cook

Basic Education Expert, Mr. George Corinaldi

Methods.

On contract to AID, Educational Development Center formed a team to evaluate the ESAT project. The team was comprised of members with combined precessional expertise in evaluation, basic education, South African education, organizational development and management, and NGOs. In accordance with the scope of work and resources available to this evaluation effort, we carried out the interim evaluation during a six week period between September 27 and November 6, 1993.

The team leader arrived for orientation with USAID staff and ESAT technical assistance staff; reviewed project documentation; selected sample of grantees for site visits; scheduled appointments and refined the scope of work.

The team convened the second week and spent three weeks reviewing project documentation; interviewing USAID staff and ESAT technical assistance staff; and conducting on site interviews with 22 grantees in the PWV, Cape Town and Durban areas. We also met with two South African educationists and two South African NGO experts. During the fifth week the team prepared their analysis and produced draft reports. In addition we conducted a day long "Feedback Session" on preliminary results of the grantee survey for grantees who participated in the on-site interviews. 30 people representing 13 grantee organizations attended

During the sixth week the team leader prepared the final draft evaluation report and presented the draft to relevant mission staff, listened to suggestions and revised the report as needed and held a close out meeting with USAID.

Appendix D
Individuals and Agencies Contacted

INDIVIDUALS AND AGENCIES CONTACTED

Ikemeleng Remedial Educational Center (IREC)
Mr Sanku Moloali, Director
Mr Velly Mahlangu

SPEAK
Ms Martha Mokgobo

Independent Examination Board (IEB)
David Adler, National Director
Ed French, Consultant Director of Adult Examinations
Melissa King, Deputy Director of Adult Examinations
Peliwe Lolwana, Director of Communications & Networking

Entokozweni Early Learning & Community Center
Ms Mapitso Malepa, Executive Director
Ms Letticia Nevondo

Maths Center
Ms Jean Patchitt

Qhakaza
Dr James Hlongwane, Administrator
Ronnie Moalusi, Principal
Odysseus Thetjeng, Deputy Principal

Operation Upgrade
Cheryl Cameron, Executive Director
Rasigan Maharajh, Researcher
Thabiso Moyo, Training Coordinator

Early Learning Resources Unit
Ros Herbert, Executive Director
Paul Daniels

Ons Leer Mekaar
Mr Christoff Oosthuysen, Managing Director

TOPS
Dr Menaka Padayatchee, Regional Chairperson (Southern Natal)
Makhi, Dhlomo, Regional Coordinator (Southern Natal)
Vuma Mteka, Principal, Kwamgaga High School

English Language Educational Trust (ELET)
Jane Jackson, Project Coordinator (4 rural projects)
Brian Nagel, Administration
Nomaswazi Hlubi, Post Project Coordinator
Ann Pelser, Project Coordinator
Cecil A. Flynn, Course

Umzamo Development Project
Willem du Toit, Chief Executive Officer
Nomaxaba Mgele, Pre-school Coordinator
Mxolisi Tolbat, Fieldworker

Primary & High Schools Tuition Project Report (PHSTPR)
Jack Lewis, consultant & trustee
Revenia Abrahams, high schools coordinator
Schuabe Rajap, primary schools coordinator
Sydney Mabutyama, tutor
Paul Mfiri, tutor
Mandiswa Tindleri, tutor
Princess Nkambule, tutor

Forum for the Advancement of Adult Education (FAAE)
Dee Roup, Coordinator
Hillary Diemont, Initial Researcher - USAID
Nimi Goolab, Researcher
Promise Rapudi, Researcher - Ass/Secretary
Simon Ngobeni, Messenger/Office support
Florence Masinda, Training room support

TREE
Snoeks Desmond, Director

FACE-NATAL
Ian Mkhize, Director
Karen Yegappen, Administrator
Ann Browne, secretary
Gay Winship
Hema Sing

PROMAT
Mr Larry Robertson, Executive Director

PROLIT
Jenny Neser, Director
Andrew Miller, PR/Fundraiser
Charl Marais, Finance & Admin
Pat Dean, ABE extension

GRASSROOTS Educare Trust
Jinny Rickards, Director
Maily Isaacs, Field Service Manager
Miriam du Toit, Finance & Administration Manager

Education Foundation
Mr Peter Badcock-Walters, Director of Development

South African Association for Early Childhood Educare (SAACE)
Joyce Matube, National Coordinator

South African Committe for Higher Education (SACHED)
Trevor Abrahams, Director
Roy Williams, Deputy Director, Programmes
Ashley du Plooy, Funding Department
Harriet Perlam, Coordinator, Upbeat Magazine
Orenna Kurk, Coordinator, SACHED Books

Kagiso Trust
Eric Molobi, Executive Director
Furhana Jamaludeen, Executive Assistant
Yogesh Narshing, Manager-Education and Training

ANC Education Desk
John Samuels, Education Officer

ABLE
Julie Reddy, Acting Director

USAID
Jennifer Bisgard, Program Development Officer
David Evans, Human Resource Development Officer
Sarah Labaree, Project Specialist
Cheri Rassas, Program Specialist

Appendix E
Grantee Feedback Session

APPENDIX E

GRANTEE FEEDBACK SESSION PROCEEDINGS

After the site visits to 22 grantees, while compiling the evaluation report, a feedback session was held for the grantees interviewed. The purpose was to allow them to respond to the preliminary major findings of the evaluation team. Three questions for further grantee input were identified by the evaluators. The questions and their input is provided below:

Question 1: How are NGOs prepared to preserve their position and participate in the debate on education policy in South Africa on an ongoing basis?

Grantees' Response

- The policy debates must be regionalized and decentralized.

- Communities identify the NGOs they "like" (they issue the want funded eg Adult Education or Health) and funding is liked to this choice. NGO existence, and therefore, the commensurate policy interests are demand driven, not supply driven.

- Regional Education Trusts should be created with support from: corporate sector; foreign funders; the State. Decisions about the Trusts should be driven by local priorities.

- There is a need for donor transparency.

- NGOs should appoint staff who have the time and skills to lead us into the policy debates.

- NGOs have to find the strength to assert ourselves in debates especially to resist pressure to align with political movements.

- We need secure, continuous core funding (not innovative projects) so that leaders can take the time to participate in the wider debate.

- We need access to technical background on policy issues (via ABEL?) For example, a one week workshop on national policy issues in Educare.

- The future of NGOS is well accepted.

- We need to form a national forum as a mouthpiece that is representative of all NGOs.

- More NGO representation is needed on the National Education and Training Forum (NETF).

Question 2: What should USAID's education program policy and strategy be in the years ahead?

Grantees' Response

- USAID needs to sustain funding of NGOs over a period of years, during the traditions period. Why? Because NGOs fill gaps, are innovative, flexible, creative and responsive.

- The Mass Democratic Movement and the NGO sector, in consultation, should come up with USAID Education Policy and Development Strategy on a continuing basis.

- USAID should support the development of citizenship skills/civil society through existing and new NGO's, community action groups, media, etc.

- USAID should support the growth of education sectors which are not to be resourced and supported by the new government. In the interim they should continue with the current strategy.

- USAID should lobby for the adoption by government of valuable NGO models and experience

- USAID should support NGOs to increase their internal capacity and provide the space (resources) for NGOs to support their position.

Question 3: What lessons could be shared on how USAID missions can work with NGOs?

Grantees' Response

- USAID should continue to identify fields [activities?] of
    a) excellence
    b) innovations
    c) potential for sustainability

- Empowerment evaluations on a continuing basis

- Flexibility needed on building or closing down funding grants

- Encourage transparency and accountability in NGOs

- Core funding is essential: to secure NGOs for 3• 5 years allows NGOs time, energy and opportunity for growth

- The ABEl facility is useful and should be expanded

- USAID should have a strategy to establish local businesses whose profits will support NGOs "Teach the NGOs to run business and set them up"

- Why support NGOs?

    - Core funding from USAID in the past has allowed projects to enlarge their impact considerably

    - Development of a civil society requires that people think larger-NGOs help

    - NGOs harness local volunteer effort

    - At local level, NGOs have qualitative and innovative development

    - NGOs do the foundation building activities.